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iQ / THE R.M.A.A. QUARTERLY



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Comments from the Chair

DAVID PRYDE, MRMA

RMAA Chairman of the Board



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Supporting Information Awareness Month

As this May issue of the iQ lands on your desk or in your mailbox, Information Awareness Month (IAM) 2009 will be in full swing across Australia and New Zealand. With the theme of "Diversity", RMAA branches are hosting events that showcase the many facets of records and information management to increase public awareness of the breadth of the information industry.

There is no better example of the diverse nature of our profession than the list of our collaborative partners who have joined us to "connect information and people" by showing the importance of properly maintaining good records and information as it relates to everyone in the community. My thanks to ALIA, IIM, ASA, HIMAA, ARANZ, PROV and the NAA. Without their support, this outreach would be feeble.

"We all should know that diversity makes for a rich tapestry, and we must understand that all the threads of the tapestry are equal in value, no matter what their colour." Maya Angelou (American Poet; b1928).

Is the rich tapestry that is records and information management any less colourful, or its myriad of strands more valuable than others? Regardless of your professional standing, discipline or personal RIM journey, I urge all members to promote IAM events to friends, colleagues and industry suppliers. Obtain more details on events from the IAM website: www.informationawarenessmonth.com.au.

BUDGET BUSTING (DOING MORE WITH LESS): THE TOP 5

Many organisations still don't see their records as a corporate asset, or see records management as a core business activity and facilitator of efficiency. As a result, many of our members are not receiving the support they require to add value to their organisations, be proactive, or to live up to the potential that a fully resourced records management programme can offer.

With the world in recession, government and corporations will trim budgets to reduce the effect of this global financial pressure.

Here's my countdown of top 5 recession-busting tips to "do more with less".

5 Audit Your Organisation When was the last time you audited your organisation? Have you ever? In order to act frugally, you need to know what

you have, and in some cases, what you don't. This audit will be the basis of your file plan, and lead to information or datasets that can be manipulated or provided more efficiently and effectively.

4 Spend Time in the Trenches As records managers, do we sit in our offices waiting for the phone to ring, or are we proactively visiting our users? Set aside time each day or week to visit a different business unit, build relationships and ask questions. Ask, "What are your problems?" "What can I do to make it happen?"

3 Follow-up Many managers fail in this area. Once you have asked the hard questions, follow up with problem-solving recommendations. Some solutions may come with a price tag outside your budget. If the solution is efficient, reduces costs or improves productivity and the owner of the problem is excited about it, then suggest he/she finances it, shares costs, or at least supports your request for added resources.

Even if you can't resolve the problem, still follow up and be honest with the manager. Keep building the relationship and one day they will come to you for something you can assist with.

2 Pilot Projects As actions speak louder than words. Identify small projects that can be achieved quickly, cost-effectively, and will get "runs on the board". Ideally, look for projects that can reduce storage space, make customers more efficient, or generate a revenue stream.

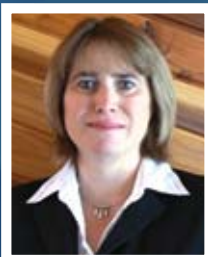
One popular solution that improves customer service and access, reduces overheads and improves productivity is to put stand-alone datasets or information on the Internet. Access instant, and it eliminates the need for customers to come to a counter. If appropriate, it can become a new revenue stream.

1 Collaborate Within Your Industry or Sector

The New Zealand university sector is very adaptable when it comes to collaboration. Given that eight universities across two islands are competing for limited numbers of international and local students, you would think that corporate agendas and individual reputation would make this impossible.

However, the concept of achievement through shared costs has produced an approved university sector General Disposal Authority, with a sector Classification Scheme to at least 3 levels under way. Is there a lesson for us all here?

David



From the CEO

KATE WALKER

FRMA MAICD AMIM, MBA, BSC (BAdm),
AdvDipBus (Rkg), DipBus (Adm)

RMAA Chief Executive Officer



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Doing More With Less

The ability to effectively gain control of and manage the mounting volumes of your business information, consistently protect that information and comply with legal, regulatory and corporate mandates is central to effective enterprise-wide information governance. As difficult as that can be in and of itself, you must facilitate business continuity and remain competitive, and ensure that your organisation is flexible enough to adapt to changing needs.

Compounding this already complicated situation is the fact that you need to protect your existing investments in resources and information systems while minimising costs and undue risk. Finally, to top it off, add the current economic situation and the ever reducing resources, both financial and human and you have one big nightmare to manage.

Businesses continue to face new demands on a daily basis that further strain departments and their information governance strategies. But however challenged they are, organisations can no longer wait to take steps to gain control of their organisational content. Information is growing exponentially, and litigation preparedness and privacy have become major issues.

Meanwhile, both records management and compliance efforts must incorporate physical, electronic and email information assets with equal diligence with complete integration in order to fully address the various looming obligations that must be faced.

RECOGNISE YOUR ASSETS

Records and information managers have assets that do not require large staffs and generous budgets to build. Credibility is one of the most valuable,

and it should never be squandered. Records and information managers establish credibility by being current on the principles, practices, laws, and regulations relating to the profession. They are careful to plan wisely for any project; thinking through to the final result and considering what steps will reach that result. Planning, of course, is much less expensive than fixing. Managing expectations for the outcome of a project is a primary responsibility and requires resisting the temptation to over-promise or to allow unintended growth of the project. Achieving a small success establishes a solid foundation for future projects.

'SELL' YOUR ASSETS

Another important tactic for records and information managers is to sell the positive business benefits of records and information management.

So much is written about risk management that it is easy to forget the benefits. Managers need efficient, economical access to authentic, trustworthy records in order to make timely decisions. Staff must complete work in a timely efficient manner. Public organisations need, or want, to make information about their programs and services available to the public. Attorneys should defend the organisation in court and protect the rights of individuals. One set of electronic records, effectively captured and well-managed, can be used for a multitude of purposes by any number of people simultaneously.

I've been reading a paper in relation to "The Hidden Costs of Information Work" (Source: IDC), and to help you quantify you value (and in turn learn to do more with less), here, and on page 6, are some interesting facts and figures. *continued on page 6*

The Cost of Information Tasks to the Enterprise

TASK	AVERAGE HOURS PER WORKER PER WEEK	COST PER WORKER PER WEEK* (\$)	COST PER WORKER PER YEAR* (\$)
Email: read and answer	14.5	418.30	21,752.90
Create documents	13.3	333.70	19,952.70
Analyse information	9.6	277.00	14,401.90
Search	9.5	274.10	14,251.90
Edit/Review	8.8	253.90	13,201.80
Gather information for documents	8.3	240.00	12,481.70
File and organise documents	6.8	196.20	10,201.40
Create presentations	6.7	193.30	10,051.30
Create images	5.6	162.70	8,461.10
Data entry to eforms	5.6	162.70	8,461.10
Manage document approval	4.3	124.10	6,450.90
Publish to web	4.2	121.20	6,300.80
Manage document routing	4.0	115.40	6,000.80
Publish to other channels	3.9	112.50	5,850.80
Create rich media	2.8	80.80	4,200.60
Translate	1.0	29.70	1,545.20

n = 234 Note: *Based on average salary of \$60,000 per year plus benefits (\$28.85 per hour in a 40 hour week)

Source: IDC's *Proving the Value of Content Technologies Study, 2004*

ABOUT OUR CONTRIBUTORS



iQ Interview subject DR RICHARD WORTH is New Zealand's new Minister Responsible for Archives New Zealand, as well as Minister of Internal Affairs, Minister of Land Information, and Associate Minister for Justice, posts he took up after the National Party recently won power at New Zealand's national elections.



PROFESSOR DAVID NICHOLAS is Director of the Department of Information Studies at University College, London, (UCL). He is also the Director of the UCL Centre for publishing, and Director of the CIBER research group.



PHILLIP WILLIAMSON is the CEO of Intellex, in Canberra. A software entrepreneur with a gift for spotting the next big thing, he previously worked in the IT industry in Hong Kong and SE Asia, where he helped major corporations improve business processes through the use of clever technology.



DR IAN ROWLANDS is Director of the SLAIS Research Centre for Publishing at University College, London, (UCL). He is also CIBER Director of Information Metrics and Policy. Previously, he worked as an analyst with the Policy Studies Institute.



JEFF MILLS is the Managing Director of Xenos Europe, in the UK. He has more than 20 years experience on the document and data industry, with a strong background in software application development. He implements the Xenos strategic plan throughout Europe, the Middle East, and Africa.



JOHN TOWNSEND is Chief Information Officer at the National Offshore Petroleum Safety Authority (NOPSA), in Perth, WA. He is overseeing the implementation of an EDRMS and is also managing the construction of a bespoke application to manage the transactions involved in regulatory activity at the Authority.



MIKE DUNLEAVY is the Vice President, Document Management Solutions, with Iron Mountain in the UK.



Canberra-based MARIAN HOY is the Professional Development and Education Officer with the RMAA, a post she took up in January this year. A PhD (Education) candidate with the University of Canberra, ACT, she has worked as a recordkeeping practitioner for 26 years.



Our second *iQ* Interview subject, DR MASAHIRO TAKATSUKA, is an associate professor with the University of Sydney, NSW, and Director of ViSLAB, the high performance visualisation laboratory with the university's School of Information Technologies. He has previously been on staff at Pennsylvania State University, USA.



MARK BROGAN is a senior lecturer in Information Technology and Recordkeeping Studies at Edith Cowan University, Perth, WA. In 2006 he led work at the State Records Office of Western Australia to devise a new recordkeeping standard for the WA public sector.



DAVID McGRATH is the Sydney-based NSW/ACT Manager with national law firm Potter Farelly & Associates. Holding law and technology degrees, he has worked with law firms, courts and major corporations on issues involving technology, documents, and litigation. Widely published, he has contributed to the development of electronic document exchange protocols.



DAVID ROBERTS is an Adjunct Senior Lecturer at Edith Cowan University, Perth WA, a post he took up this year. Previously, he was Director of the State Records Authority of New South Wales, from 1998 to 2008.



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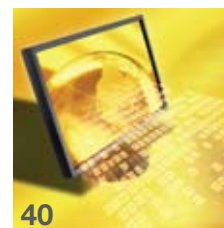


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EXCLUSIVE REPORT:
What technology RIMs
are using, and how.

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FROM THE EDITOR'S DESK

We have managed to interview some interesting people in *iQ* since we introduced Q&A interviews to the journal's pages five years ago. We started with Nick Bogarty, CEO of the peak body of the electronic publishing industry in the US.

Since then, we have interviewed the heads of the national archives of Australia, New Zealand, and the UK, the president of the Australian Law Reform Commission, the new chief of a New Zealand library, the president of HIMAA, and countless CEOs of major suppliers to the RIM industry, as well as other industry experts. And who can forget 'From the Dust of 9/11', the interview with New York City newspaper publishers Robert and Alison Simko? That interview was republished around the world after it first appeared in *iQ*.

But, in all this time, we have never been able to nail down a politician, especially one who is the responsible government minister for his country's archives. So, it is with some pleasure that we bring you an interview in this 'Doing More With Less' issue of *iQ* with Dr Richard Worth, the recently installed New Zealand Government minister responsible for Archives New Zealand and the country's National Library. Dr Worth was good enough to share his thoughts with us on a number of subjects.

This issue also includes a second *iQ* Interview, with Dr Masahiro Takatsuka of the University of Sydney, which will leave you pondering how RIMs might be sharing information in the not-too-distant future.

Enjoy the issue, as you strive to more with less in 2009.

YOUR INPUT

iQ lives and dies on the input of members of the RIM industry. We enjoy receiving your letters, feedback, and suggestions, and your article submissions.

The next issue of *iQ* will feature Education and Training, and we welcome submissions from educators, trainers, and students, to help us carry the E&T debate forward and also to stimulate *iQ*'s readers with ideas for ways they can better educate themselves and their work colleagues on the subject of records and information management.

For a number of years now, we have run articles from vendors, if they provide valuable information, insights, and viewpoints. We have one in this issue from the CEO of Intelledox, and two from senior executives with Iron Mountain and Xenos in the UK.

David Pryde, Chair of the RMAA, remarked to me only recently: "I believe that we are sometimes guilty of taking our vendor community for granted. Many have been long time members of this association and contributed much. They have many years of experience in their fields that goes beyond just products and services. Their contributions to the profession also go beyond financial or resource support of our events. However, without them our ability to provide our professional events calendar to quality standards would be diminished.

"It would be refreshing if more of our vendors and consultants contributed to *iQ* or other knowledge outlets, to share their experience. What are their expectations of customers? Once accepted as a partner with an organisation, what things lead to positive/unsatisfactory outcomes? A vendor can build more credibility in 1,000 words of honest experience than 50 presentations to hard-nosed management teams."

So, we'd be glad to hear from more of you.

Stephen Dando-Collins

Editor, *iQ* Magazine

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**Coming Up, in the
August Issue of *iQ*:**

**EDUCATION
& TRAINING**

RMAA
Records Management
Association of Australasia

**Send your article query
or submission to
editor.iq@rmaa.com.au
Deadline for accepted copy, July 1**

continued from page 3

Hours Wasted per Week per Task

TASK	AVERAGE WEEKLY HOURS	COST PER WORKER PER WEEK* (\$)	COST PER WORKER PER YEAR* (\$)	ANNUAL COST TO ENTERPRISE WITH 1000 INFORMATION WORKERS (\$)
Reformatting from multiple formats into one document format	3.8	110	5,701	5,700,760
Search but not find	3.5	101	5,251	5,250,700
Recreating content	3	87	4,501	4,500,600
Multichannel publishing with multiple applications	2.8	81	4,201	4,200,560
Moving documents from one format to another	2.4	69	3,600	3,600,480
Acquiring archived records with little or no automation	2.3	66	3,450	3,450,460
Version control issues	2.2	63	3,300	3,300,440

n = 234 Source: IDC's *Proving the Value of Content Technologies Study, 2004*

Organisations are wasting money from the cost of information work as knowledge work is hard to quantify. As can be demonstrated, basic information work costs an organisation too much when it is not organised and automated.

I hope that you can use the figures and undertake your own study into your own organisation to demonstrate your value.

Kate

DID YOU KNOW?

BY KRISTEN KELEY,
RMAA MARKETING AND
CONVENTIONS OFFICER

MAY is the Month of Diversity

For those who haven't heard of Information Awareness Month (IAM), its purpose is to increase public awareness of the breadth of the information industry through a series of events all through the month of May.

To demonstrate the importance of properly maintaining good records and information as it relates to everyone from government to global corporations through to small business, and even the homemaker, IAM aims to "connect information and people".

Commonly referred to as IAM, it is pronounced as "I am", as in "I am a Records Manager", "I am an Archivist", "I am a Document Controller", and so on. IAM is intended to be inclusive of all information disciplines and position descriptions.

By choosing the theme "Diversity" for May 2009's events, we are looking at the diverse range of areas involved in managing information – library, archiving, preservation, data storage & retrieval, records, metadata, content, knowledge, risk, compliance, legislation, education, governance, business continuity, etc.

It also recognises the roles that each individual and association plays in the business community regardless of whether their sphere is government or private, whether their focus is local, national, or global, or whether their industry covers health, mining, primary industry, or whatever. We are celebrating the information industry, and trumpeting the fact that, while rich and varied, it has a common thread.

FOUR YEARS, EIGHT BODIES

Now in its fourth year, IAM has really taken off across Australia and New Zealand. IAM events have spread to Singapore, Malaysia, Canada, and the US. It's pleasing to see the increasing number of organisations involved in Information Awareness Month. This year, the following organisations are collaborating in the event:

- Records Management Association of Australasia (RMAA)
- Australian Society of Archivists (ASA)
- Australian Libraries and Information Association (ALIA)
- Information Industry Association (IIM)
- Health Information Management Association of Australia (HIMAA)
- Archives & Records Association of New Zealand (ARANZ)
- Public Records Office of Victoria (PROV)
- National Archives of Australia (NAA)

IAM is also supported by the Storage & Networking Industry Association of Australia and New Zealand (SNIA ANZ).

GET INVOLVED

Each Branch of the RMAA will be running at least one local event. Check with your branch for details.

In addition, RMAA (HQ) will also be running an event in each Branch. The RMAA (HQ) event currently planned is a round table discussion for members of the respective associations participating in IAM, and others of course, to discuss issues of common concern.

The round table will most likely be set around a lunch or late afternoon event and would not take more than 90 minutes. The suggested topic is: 'The changing face of the membership: How can we ensure diversity in our associations in years to come?'

The aim of the round table would be to share information about who is joining our associations, how it is changing, what their needs are, and how each organisation's listservs and events reflect a changing membership.

RMAA event organisers will have undertaken the necessary administrative arrangements, so see the RMAA or IAM websites for details of local events.

Are you
Aware of
Information
Awareness
Month?

FIND OUT MORE

See the website for more information, a calendar of events, and links to each of the collaborating bodies:
www.informationawarenessmonth.com.au

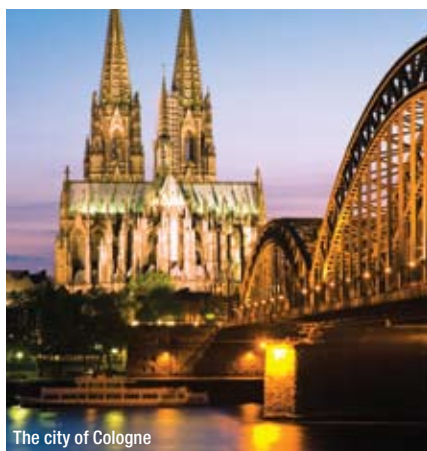




WORLDWIDE NEWS

CLEANUP AFTER COLOGNE ARCHIVE COLLAPSE COULD TAKE 5 YEARS

COLOGNE: Cleanup work, which began immediately following the Cologne City Archive building collapse on March 3, after being undermined by work on a city underground rail tunnel, is likely to take five years.



The city of Cologne

Cologne, a Rhine city which dates from ancient Roman times – its name derives from the Roman military colony established there by the emperor Claudius – boasted one of Germany's largest archival collections of city records. Some of the 60,000 historic files of records dated back more than 1000 years, including 104,000 maps and plans and 500,000 photos housed on 27km of shelf-space in the 38-year-old archives building.

The collection, which included letters of philosophers Karl Marx and Georg Hegel, artefacts of twelfth century emperor Friedrich Barbarossas, the largest collection of works by composer Jacques Offenbach, and important documents from post-war chancellor Konrad Adenauer, is insured for €400 million (c. \$800 million).

In February, the city acquired the complete works of Nobel Prize-winning author, Heinrich Böll, following six years of negotiations, involving 6,400 manuscripts, letters and documents, for €800,000.

Archive Director, Dr Bettina Schmidt-Czaia, who was working in the building when it began to collapse, told London's *Guardian*, "We have recovered 6km of (records) so far. It's very complicated. The building didn't collapse as happens in a planned blasting, when everything falls down straight; it turned on its own axis.

All that is left is chaos."

By April, more than 100 people were working on the salvage operation, with rescued material being sent to Rhineland's Brauweiler Abbey. "We pack everything we find into boxes and transport it three times a day," said Mrs Schmidt-Czaia.

"The condition of the material differs a lot. Most of it got wet, so we have to freeze it to protect it from mildew. Other things are totally destroyed, and we can only collect them in pieces. Anything in good condition we wrap up in gauze bandages for safekeeping.

"It's impossible to say which parts of the collection have been recovered and which parts will be lost forever. We only have seconds to note down what we find, because every piece has to be packed at once to avoid further damage. It might take five years to sort through everything."

AUS GOVT REFORMS ARCHIVES ACT

SYDNEY: The National Archives of Australia Advisory Council has welcomed what it describes as far-reaching reforms to the Australian federal Archives Act, 1983. The long-awaited amendments were announced by Cabinet Secretary, Senator John Faulkner, at the *Right to Know* conference in March.

Senator Faulkner had announced that "Cabinet notebooks" – handwritten notes of discussions and decisions made at Cabinet meetings – would be made available after 30 years, instead of the current 50 years. In addition, Cabinet and other government records would become available after 20 years, instead of the current 30 years.

Any records with privacy or national security implications or containing other sensitive information would be withheld in line with exemptions under the Act, said the Senator, a member of the Archives Advisory Council for 12 years until last year. Accelerated access would be phased in over a 10-year period with the first multi-year release commencing on 1 January 2011.

Chairman of the Advisory Council, Paul Santamaria, said in a press release that the planned changes put Australia at the leading edge of a worldwide movement to increase access to information. The National Archives Advisory Council had, for some years, pressed government to consider amendments to the Act along the lines announced.

HIGH EXPECTATIONS FOR NEXT US ARCHIVIST

WASHINGTON DC: New U.S. President Barack Obama seemed in no hurry to nominate a new Archivist of the United States, the head of the National Archives & Records Administration (NARA), but he quickly made clear his view of US public sector records management.

On his first full day in office, President Obama revoked his predecessor's vilified Executive Order 13233, which had severely limited public access to presidential records. Then he issued his first, stern Presidential Memoranda on "Transparency and Open Government" and "the Freedom of Information Act". (See www.whitehouse.gov/the_press_office.) It was an unequivocal rejection of the records management policy of his predecessor George W Bush.

The post of Archivist became vacant when Bush appointee Professor Allen Weinstein resigned in the dying days of the Bush presidency. The 71-year-old historian revealed he had contracted Parkinson's Disease.

Back in April 2004, U.S. historians, archivists and librarians united in condemnation of Professor Weinstein's appointment. Protests focussed on the historian's perceived ties with congressional Republicans, his founding of the right-wing US Center for Democracy, and professional charges of secrecy surrounding research for his books on American history.

It was not the first time the appointment of a US Archivist had met with criticism. President Bill Clinton's 1995 nomination of John W Carlin, a former Kansas State Governor, was also controversial. Professional groups, notably the Society of American Archivists (SAA), questioned Carlin's politics and his records and archives management knowledge.

In the event, Carlin's political nous earned him positive treatment in the US Congress with strong budgetary allocations for the National Archives and Records Administration (NARA) and the National Historical Publications and Research Commission (NHPRC). It guaranteed a number of NARA projects, including the ground-breaking Electronic Records Archives (ERA) programme.

By the time that Professor Weinstein departed NARA, he had pacified some of his critics, too. A New York *Library Journal* commentary on his term praised him for increasing the NARA budget

to \$411.1 million for 2008, from \$318.7 million in 2005, a range of electronic records initiatives, reducing the backlog of unprocessed collections, and bringing the once-private Nixon library into the National Archives system of Presidential libraries”.

The director of George Washington University's National Security Archive, Thomas Blanton, quoted on *Washingtonpost.com*, credited the professor with baulking CIA attempts to remove de-classified papers from NARA, adding, bluntly: “Allen put a stop to it.”

In what Professor Weinstein and probably his senior staff knew was his valedictory annual *State of the Archives* speech three days before his resignation, the professor challenged NARA's 2,500 full-time employees to guard against official interference with public records, saying they must provide a clear roadmap to all Federal agencies to ensure that only information genuinely requiring protection is classified and controlled, and then *only* for as long as absolutely necessary.

Writing to President Obama, a group of records management, archives and history organisations headed by the SAA no longer demands that archivists drive NARA, but nominate as the US Archivist's key job criteria experience and excellence in leadership, programme advocacy, and management of a complex organisation. They also want the next Archivist to possess the ability to present a compelling vision for the mission and work of NARA and, more broadly, for the archives and records management professions in the United States.

But its accompanying appendix, “Qualities of a successful candidate”, the letter makes no overarching demands for previous records or archives management knowledge. It wishes for strengths like

“understanding of critical issues”, “ability to listen” and “commitment to ... public ownership of government records”. It hopes that the letter will “help guide you in selecting the person” President Obama would nominate.

They, and we, await details of the man, or woman, President Obama appoints to the post of Archivist of the United States, with keen interest.

A NEED TO ‘SELL’ ARCHIVES RATHER THAN SELL THEIR CONTENTS?

NELSON: Curators hope they have killed off an attempt to sell parts of archives held by an art gallery and museum, an element of a new regional arts strategy being fiercely debated in the Nelson and Tasman districts on the northwestern tip of New Zealand's South Island.

The “sell” proposal came from a former trustee of the Nelson Provincial Museum, Ray Caird. He told a hearing of public submissions to the arts strategy that 25 percent of Nelson archives could be sold. It was, he said, as if the city should store all its garbage just in case it contained something of value. Chairman of the Bishop Suter Art Gallery in Nelson, Mr Craig Potton, said the idea was “ludicrous” because the annual storage costs were minimal.

Campaigners had protested that “paper storage is a huge expense” and that “people in the museum trade are very precious” regarding all possessions as valuable. The quarrel was reported at length in the *Nelson Mail*, in February.



Sarah Welland

Sarah Welland, a director of Lindisfarne Information Consulting Ltd, subsequently said on the NZ Records listserv: “While I am glad that the Suter and the Museum

treated the proposal as a non-starter, perhaps this is a timely reminder for all of us involved with archives to look closely at the reasons why this suggestion and suggestions like these are made in the first place.

“Perhaps there has been too much focus on guardianship... Perhaps management simply needs to employ more staff with suitable qualifications and experience to free up greater advocacy, education, and access by the public?”

CONTENT VENDORS PUT ON THE MAP

BOSTON: US Analyst firm CMS Watch has created a clever ‘Content Technologies Vendor Map’ which uses a subway map format to show who connects with what, covering 100 vendors worldwide.

Major suppliers such as Microsoft, Oracle, IBM, EMC, and Open Text represent technology transfer stations along a central main line. Other best-of-breed vendors radiate out from there.

The map clearly illustrates who provides what, and some larger vendors such as SAP and Adobe actually turn up among the long lines of established point solutions, as they are not heavy players in this space.

- The map can be downloaded in JPG or PDF, at www.cmswatch.com/vendormap. **IQ**

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The New Zealand Government's Records Management Buck Stops Here

The politician now responsible for oversight of New Zealand Government agencies' compliance with the country's Public Records Act is **DR RICHARD WORTH**. *iQ* spoke with him as he prepared to face the music when annual government recordkeeping audit reports hit parliament, and as his recently elected government has to decide, in these tough economic times, whether to proceed with a \$70 million refit of New Zealand's National Library approved by the previous government.



Interview Snapshot

- Dr Worth brings a lawyer's perspective to the task of overseeing government recordkeeping.
- He has to contend with major RM expenditure demands at a time when the economic downturn is making budget pruning mandatory.

iQ: Thank you for agreeing to answer our questions, Minister. We'd like to deal first with matters concerning your Archives New Zealand portfolio. So, how will your expertise in international trade and law help you enforce the Government agencies recordkeeping processes prescribed in the Public Records Act 2005?

RW: My business background has made me very conscious of the need for business management systems, including records management, to be maintained with integrity, and for the appropriate processes to be put in place for the retention of records in these systems.

iQ: The Public Records Act seeks, in its own words, "to enable the Government to be held accountable...ensuring that full and accurate records of the affairs of central and local government are created and maintained...". Do you think the Act is adequate to ensure agencies create and maintain records that hold Government to account?

RW: The Act includes a clear requirement to create and maintain full and accurate records, the ability for the Chief Archivist to issue mandatory standards, and powers of inspection and audit. But legislation by itself is only ever part of the solution. Effective implementation is the important element.

I'm impressed by the range of activities Archives New Zealand has undertaken to support agencies, using the tools provided by the Act such as the mandatory standards.

iQ: Does the Act require amendment or re-drawing to make it more prescriptive?

RW: While the Act requires for full and accurate records to be kept, agencies determine what this means in terms of their own business purposes. This is quite appropriate, as the technology that is used to create and manage records is changing very rapidly.

The Act includes the ability for the Chief Archivist to set standards. This is a much more flexible approach. It is much easier to modify a standard than it is to modify legislation.

iQ: When the Act was passed, some public offices, some academic institutions particularly, protested that its requirements impinged on other interests such as intellectual property rights, copyright and commercial sensitivities. How have these fears been allayed?

RW: Changes were made during the development of the Act to address these concerns.

These included the exclusion of records created by the academic staff or students of a tertiary education institution, and the insertion of the phrase "in accordance with normal, prudent business practice" into section 17(1).

It is worth noting the collaborative relationship that has now developed between Archives New Zealand and the New Zealand Vice-Chancellor's Committee, particularly through the development of a General Disposal Authority for University records throughout New Zealand.

iQ: The Public Records Act provides for penalties for wilful or negligent non-compliance amounting to NZ\$5,000 "in the case of an individual" or NZ\$10,000 "in every other case". Obviously, these are actions that, hopefully, will never be required, but as a last resort how do you see them playing out against an individual?

RW: These provisions are most likely to be applied against a rogue individual who deliberately damages or destroys public records or archives.



About our interviewee

DR RICHARD WORTH, OBE, PhD (RMIT), MJur, LLB (UAuck), MP, is a leading Auckland lawyer elected to the New Zealand Parliament in 1999. In his first ministerial role, following the centre-right National Party's election to power last November, he is Minister Responsible for Archives New Zealand, as well as Minister of Internal Affairs and of Land Information, and an Associate Minister of Justice. A minister outside Cabinet, he hit 60 last July 3.

Dr Worth is Auckland born. He gained a PhD in Australia from the Royal Melbourne Institute of Technology (RMIT), has been New Zealand Consul in Columbia and Monaco, and has led NZ trade groups to Hong Kong, Korea and India. He was elected to represent the prestigious, wealthy Auckland constituency of Epsom, following an eminent career as a lawyer during which he had chaired NZ's largest law firm, Simpson Grierson, for 13 years.

He is a knight of the Venerable Order of St John of Jerusalem, a retired captain in the Royal New Zealand Naval Volunteer Reserve, and has a "passion" for mountaineering. On his website, www.richardworth.co.nz, he lists his other interests as Bollywood films, Korean classical music and "the early works of Sun Tzu", an eminent Chinese military strategist of the 4th Century BC.

Perhaps he will need to apply some of Sun Tzu's maxims, such as 'Be patient in tight situations as well as easy ones; eliminate pettiness,' as he approaches his work with Archives New Zealand and the country's National Library. Driving compliance with the Public Records Act 2005 will not be easy, and will not make him particularly popular with some of the affected institutions that still struggle with the Act's records management requirements.

iQ wishes him, and them, every success.

» “MUCH MORE WORK
WILL BE NEEDED TO
ENSURE ADEQUATE
DIGITAL CONTINUITY
FOR PUBLIC SECTOR
DIGITAL ARCHIVES” «



iQ: The Act talks of wilful or negligent non-compliance in “every other case”, a term that presumably includes an agency or a department within an agency, amongst others. In what circumstances do you envisage such action being taken against an entity, and how would it be undertaken?

RW: There are several mechanisms in the Act to both educate and monitor government agency compliance, including inspections, directions to report, and audits.

Again, these provisions are most likely to be applied against a rogue organisation which deliberately damages or destroys public records or archives.

iQ: Is Archives New Zealand physically capable of storing all the records, particularly the digital objects it will be required to maintain under the Act?

RW: The public sector is increasingly using digital technologies for recording its business transactions. We need to build sustainable systems for ensuring digital information of value can be kept.

Archives New Zealand launched an Interim Digital Archive on 1 July 2008, which provides a limited set of digital preservation functions allowing some digital records to be transferred into archival care. This system, based on existing open source software, is an efficient way to provide initial testing of innovative solutions.

Much more work will be needed to ensure adequate digital continuity for public sector digital archives in the long term.

iQ: If Archives New Zealand is unable to accept digital records for lack of storage space or any other reason, the Act provides for the Chief Archivist to instruct the controlling public office to continue to maintain and control the records for payment “at a rate agreed by the Chief Archivist and the controlling public office”. Would this be a desirable outcome, and has a budget for such a contingency been agreed?

RW: This is not a desirable outcome, because it means agencies would need to duplicate long-term storage facilities. The department is working with agencies documented in the draft Digital Continuity Action Plan to determine the most cost-effective ways for digital records of long-term value to be managed.

I am confident a solution will be found, and as a result a budget contingency will not be required.

iQ: What long-term provision is being made for the ever-increasing quantity of digital records Archives New Zealand will have to manage and control in the future?

RW: The draft Digital Continuity Action Plan, developed by Archives New Zealand in consultation with public offices, will provide an all-of-government approach to developing practices to sustain the public sector's digital environment and to protect our valuable knowledge stores. A set of achievable goals, and more importantly, practical actions are included.

iQ: Turning to the National Library's NZ\$70 million development proposal, a project approved by the previous government, recent New Zealand national newspaper reports of the project have quoted you as saying: “Realistically, in these economic times, it is appropriate for all projects to be subjected to detailed review.” Have you had any indication, yet, of the Government's thinking on the project, the cost of it to the taxpayer versus the desire to keep the economy buoyant?



RW: Not yet. This project is being reviewed along with other public expenditure, as part of the new government's line by line review of the public sector.

iQ: In your view, will the Government continue support and financial backing for programmes like the National Digital Heritage Archive, Archives New Zealand's digital strategy, Archway, and the National Register of Archives and Manuscripts?

RW: Archives New Zealand will continue to work in collaboration with other agencies in order to maximise access to New Zealand's digital heritage. Digitisation projects and searching online via Archway are integral to the department's core business.

Government has already invested in the National Register of Archives and Manuscripts (NRAM), which will support community archives throughout the country to better manage their collections and make them searchable online. The launch of the upgraded NRAM system will take place later this year.

iQ: The theme of this issue of iQ is ‘Doing More With Less’. To your mind, are there obvious ways that government recordkeepers can do more with less in the current financial climate?

RW: In the face of the worldwide recession, our public sector is no longer in an environment where additional money is available each year for new programmes. But this does not mean we expect the public sector to be less effective.

The challenge – as you've correctly identified – is to work out how to do more with less. There is no set formula for achieving better results except for public sector managers to think of better ways of doing things – to provide better, smarter public services.

In the recordkeeping domain, this means coming up with innovative ideas and looking into the potential of cross-agency collaborations and partnerships – with both the volunteer and business sectors.

I would also like to make that point that if the wider public sector is to improve the services that are delivered to New Zealanders we need to improve the way our agencies manage information.

Complete and accurate records maintain clarity in decision making and underscore efficient and effective government by ensuring today's decisions are well informed by what has gone before. It is clear that government recordkeepers have a very important role to play in this new environment. **iQ**

iQ: Thank you very much, Dr Worth. This has been most interesting and we thank you for giving us your time.



In this Global Financial Crisis **EXPLOIT A KEY ASSET – Records & Information**

The Global Financial Crisis is presenting many challenges to organisations. Not the least is how to continue to survive in a world in which demand seems to be decreasing and costs are being slashed. Perhaps, says the author, the answer lies in a ubiquitous asset – records and information management.

BY PHIL WILLIAMSON

Story Snapshot

- Document output management offers an opportunity to add value.
- The true value of metadata will become apparent over time.
- 50% improved document management efficiency is possible.

You and I know that information and knowledge (records) are the lifeblood of any organisation. What many people within an organisation often do not realise is that, used and presented correctly, it can be the difference between exceptional and mediocre, profitable and unprofitable.

This key asset is often ignored until there is some sort of crisis – such as, “I can’t find something”, or the letter that was sent out contained out of date or incorrect information.

I should point out that I think this particular asset has been ignored for much too long – not just since the start of the Global Financial Crisis (GFC). Notwithstanding this, the GFC has provided an opportunity to raise some issues about this often ignored asset and its potential contribution to the reduction of costs should it be used properly.

There are many opportunities to add value to, or garner additional value from, information and records. I would like to focus on one business process, document output management, and how information and records can be best put to use to support this process.

Too often we think, once we have captured our documents into an ECM or an EDRMS, that’s it – the documents have been captured and are now being managed. There is no doubt that this will assist your organisation meet compliance and governance issues. However, is it the best use of your information and records? Can we re-use the information and records, metadata and content better?

The content within a document or record is often difficult to mine and extract relevant data, or an overview of what the content is about. Instead, there is metadata, or data that describes data, providing information about what’s in the document (who created it, who is it about, what’s the customer, product etc).

The issue with metadata is that it is often a laborious task to define and apply to a document. Studies have shown that if the effort of applying metadata takes longer than 7 seconds, people don’t tend to do it. (See www.infovark.com)

The value of metadata becomes clear when you consider the concept of “Information Half Life”. How long is information useful – a day, a week or forever? The value of information is not linear, so the easiest answer is “keep everything”.

The problem with this approach is that the ECM or EDRMS becomes littered with junk, with much of the information it contains being unstructured and undocumented with metadata. Compounding this, the volume of records collected and the numbers of documents generated will escalate exponentially over time.

In many organisations, the challenge will be the definition, management and structured use of metadata to track and ensure the value of the knowledge collected across the organisation. All organisations will look to their EDRMS for better value, greater capacity and simplicity in the sophistication of searching for relevant records. Which means the true value of metadata will become more and more apparent over time.

During the GFC, many organisations will be in a state of flux. Many are reducing staff, with high staff turnover and pressure on remaining staff to deliver more with less. The organisational challenge will be to collect, retain and utilise the corporate data. The second challenge will be to deliver a better quality product, with fewer staff, under pressure, while reducing costs across the board.

In looking at information lifecycle solutions, most vendors (and therefore their clients) have focused on document storage and management, both physical and electronic. They assume a person applies the appropriate metadata naming conventions and saves the document appropriately and not on their local drive.

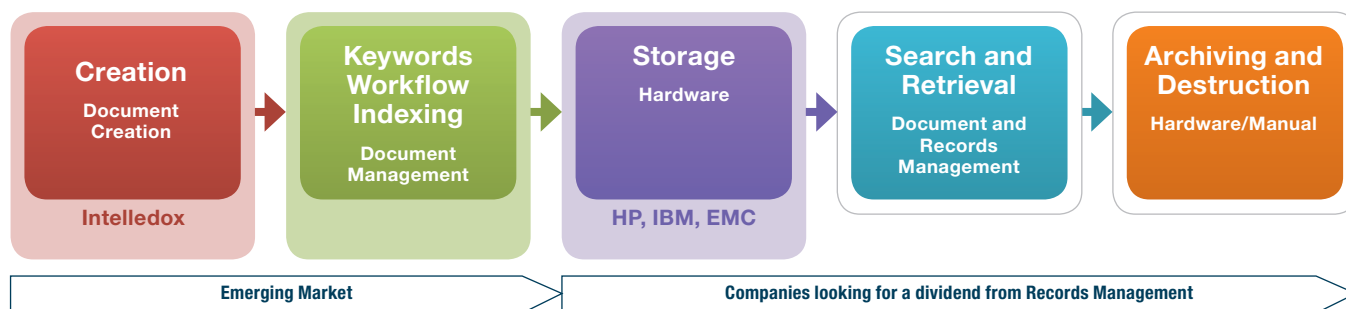
THE DOCUMENT CREATION SPACE

However, a new space is emerging, the document creation space, that looks explicitly at the process by which a document is created. This space bolts cleanly onto the front of existing information lifecycle solutions, aiding the construction of documents, the application of metadata and the naming of the document, then pushes the document directly into the EDRMS.

Such solutions are very different and innovative. They allow users to produce rich documents by drawing on information stored in various places – ECM, EDRMS, databases etc – and then output to print, to email or to a Web portal. As part of the process, metadata is created and applied and a distinct record is created within the EDRMS.

The document creation space looks at high touch document creation as well as high volume document generation from an enterprise – such as statements, invoices and trade confirmations – providing automation from business systems and integration into print houses and mail houses. Using re-usable document objects, business rules and multi-channel output, organisations can define how to output a document and the most cost effective manner for printing and mailing.

The document creation space



As organisations' customers become more sophisticated (and green), they may choose to receive documents electronically via email, SMS or other formats. As part of the output definition, documents can be routed to the best output format dynamically, simply as part of a customer preference.

THE EFFICIENCY DIVIDEND

With these new capabilities, organisations can quickly automate document-centric processes to increase their efficiency by more than 50% and achieve an ROI within 12 months.

Organisations can easily identify document-centric business processes to automate and quickly achieve an efficiency dividend. Documents represent the low-hanging fruit on the business process tree. Wherever you see document output, chances are there is some level of manual business process behind it. This is a simple solution for organisations looking to achieve operational savings this year.

Productivity gains of up to 90% are possible through reduced document creation time; increased content accuracy due to intuitive 'wizards' that lead the users through the creation of the document; and reduced numbers of templates that are centrally managed and maintained – one update dynamically updates all relevant templates.

In fact, Hastings Deering is projecting a 400% productivity increase. Document compilation time for their safety manuals that are supplied with every order for Caterpillar heavy equipment is projected to be reduced from 12 hours to 3 hours, with the automatic generation of the document averaging about 60 seconds. By making the manual creation process dynamic and efficient, the end result is reduced costs and a better bottom line. (See: <http://www.intellex.com/Downloads/CaseStudies/tabid/171/Default.aspx>)

Equally important, particularly in government, document output solutions can drive better use of information and

records as well as reduced costs. The ACT Planning and Land Authority (ACTPLA) has introduced such a system to ensure that it produces high quality, consistent and accurate documents in response to the 5,500 development applications received on an annual basis. The implementation of the solution has allowed ACTPLA to reduce the number of templates, increase accuracy and reduce time to send responses to applicants. (See: <http://www.intellex.com/Downloads/CaseStudies/tabid/171/Default.aspx>)

THINK OUTSIDE THE SQUARE

At Intellex, our philosophy is that all software applications should be simple to use, elegant in their construction, and provide an excellent value proposition for our clients. In the GFC, any value proposition is something that organisations must take a good look at.

The Intellex solution grew out of a clear gap in the market for document creation software that helped streamline cumbersome, outmoded methods, the need for which was never greater than now.

Adaptability is the key. Our solution is now available as on-premises software, a dedicated hosted solution or a software-as-a-service (SaaS), giving organisations complete control over how they deploy automated document creation and output management solutions. Customers can also choose to purchase solutions up front, or pay as they go via a monthly subscription. Those customers have found a better way to use information and records.

There are many opportunities to better use information and records. The challenge is to review and know what is needed, and to think outside the square. Better use of information and records will, I believe, lessen the impact of the GFC, for all of us. **IQ**



About the Author

PHILLIP WILLIAMSON is the CEO of Intellex, based at the company's Canberra head office. Mr Williamson is a software entrepreneur with a gift at spotting

the next big thing. He saw immediately the global opportunities for the idea that became Intellex. He has extensive experience in the IT industry in Hong Kong and south-east Asia where he has helped some of the largest companies in the world to improve their business processes through the use of clever technology. Mr Williamson has a Bachelor of Science (Hons) degree from the Australian National University (ANU), Canberra.

Intellex is an Australian company which develops innovative document output and document creation software. With its development base in Canberra, the company has offices around Australia. It has distributors in North America, the UK and South-East Asia.



Trimming the fat from records management with the 3Rs

Story Snapshot

- The principles of 'reduce, reuse, and recycle' have never been more important.
- Streamlining the information supply chain offers majors gains.
- Optimisation solutions can be integrated with existing technology.

The recent economic challenges have driven organisations to pay closer scrutiny to the costs and administrative complexities associated with records management. To that end, many are looking to the tried and true 3R principles to improve data and document management practices.

BY JEFF MILLS

In a world that is awash in structured and unstructured data, the scope and complexity of records management have reached unprecedented proportions. Not only have storage requirements escalated to untenable levels, it has become increasingly challenging to access and distribute data and documents quickly and efficiently. Organisations are constantly grappling with issues surrounding data and document duplication, secure access and the overall management of the information supply chain.

Adding to the records management burden is the increasing need to integrate unstructured data – in the form of emails, reports, statements, spreadsheets, letters, forms and countless other types of communications – into that supply chain. As a result of all these demands, systems and processes have become cumbersome, the costs of storage and retrieval continue to rise, and the flow of information is more complex than it needs to be.

The term 'reduce, reuse, recycle' has been a mainstay of corporate initiatives for more than two decades. Many enterprises have been aggressively pursuing 3R policies, from paper usage and disposal practices to energy usage and water consumption. Now it's time to adopt the same approach with data and documents.

REDUCING STORAGE INFRASTRUCTURE DEMANDS

As it stands today, many enterprises hold the same information in a variety of different electronic formats and in different physical locations to meet different requirements. In cases such as PDF files, which can consume inordinate amounts of storage space, the associated costs can be staggering. The increased volumes also put enormous strain on IT infrastructures in terms of security, bandwidth requirements and access control.

However, there are technologies available that can help organisations reduce storage infrastructure demands. By ...

» “STREAMLINING THE INFORMATION SUPPLY CHAIN IS ONE AREA THAT PROMISES TO OFFER MAJOR GAINS OVER THE SHORT AND LONG TERM” «

applying a ‘reduce, reuse, recycle’ approach, they can eliminate redundancy, streamline access to business critical information and ensure security and/or legislative requirements are met. The right solution for example, should enable real-time, on-demand conversion of customer statements, and other key documents contained in electronic print files, to PDFs for ePresentment.

The concept of on-demand conversion of data to PDF format (otherwise known as “document and data transformation and repurposing”) is one way organisations can eliminate the unnecessary storage of large format documents, while streamlining access and version control. For some, this approach has proven to effectively reduce storage requirements by as much as 90%. This is an extremely significant benefit, since many large enterprises are spending as much as 70% of their IT budgets on their storage infrastructures alone.

A CHALLENGED INFRASTRUCTURE

Streamlining the information supply chain is one area that promises to offer major gains over the short and long term. The costs associated with the storage of high volume document output (HVDO) are skyrocketing, according to a March 2008 IDC white paper, *The Diverse and Exploding Digital Universe*.

The report states that by 2011, the digital universe will be 10 times as big as it was in 2006, and that there are currently 281 billion exabytes of information in the digital universe. In 2006, about 25% of the bits in the digital universe were created or replicated in the workplace; by 2010 that proportion will rise closer to 30%.

The documents that comprise records management libraries are also becoming larger and more complex, which is placing even greater demands on storage and network bandwidth. These high volumes of information are not only taking their toll on infrastructure resources; the effectiveness of indexing, reporting and search functions is also being compromised.

In conjunction with these massive document libraries, many organisations have also embraced Electronic Records Management (ERM) and Enterprise Content Management (ECM) systems to store critical content such as reports, scanned images, statements, PDF files and Microsoft Office documents.

These systems are invaluable in helping organisations maintain regulatory compliance for records retention management, reporting and searches. However, the escalating volumes of graphically rich electronic content, means that ERM and ECM applications are less able to perform vital indexing, storage and retrieval functions within acceptable time frames.

A BIT OF HVDO HISTORY

The evolution of high volume document output has been rapid. For the most part, storage of HVDO encompasses files such as internal operational reports and customer-facing documents such as statements, policies, bills, and correspondence that have been designed for physical print and fulfillment.

Originally, HVDO was managed by creating very large print files from an enterprise application for production printing

in large batches for internal distribution and delivery to customers. These older file formats were relatively small in size since they were almost entirely made up of text information and spaces. Older archive systems used traditional file compression schemes in order to reduce the storage footprint.

Over time, we saw the adoption of new print and electronic document presentment channels and methods. These prompted the growth of rich document formats – in particular PDF. PDF documents are much more densely formatted than standard text, which means they cannot be further compressed to significantly reduce storage.

The volume of PDF documents has literally exploded in recent years, placing unprecedented demands on storage availability, thereby increasing capital and operational costs and straining the capacity limits and management of available storage technology.

REDUCE, REUSE, RECYCLE: OPTIMISING WHAT YOU HAVE

Since compression is no longer a viable option, the alternative lies in the concept of Document Resource Optimisation. This technique processes the various objects in a document in different ways. It does this by identifying the internal structure of documents, and separating the core data and unique resources in the documents from the duplicate resources that are common to the whole batch.

We could call this a “de-duplication” approach. By way of example, a typical graphically-rich document may be 5MB versus 150 to 500KB for more traditional, text-based documents. Through de-duplication, the unique elements may comprise a mere 500KB of core data with references to the 4.5MB of common elements. Those common elements are stored as a single copy (versus thousands) for use in all documents.

What it does in effect is eliminate the need to provide unique storage for each resource in each document within an ERM/ECM system. Rather, the core data is stored, along with embedded links or pointers to the common resource objects used in the documents. Therefore common elements are stored once and then assembled on demand when a document is printed or presented electronically.

To understand the magnitude of this storage saving, let’s look at a typical example. A financial organisation decided to move to statement personalisation for its mortgage statements. In doing this, statements that were once one-tenth of a megabyte in size, suddenly exploded to 9MB. For this particular company, monthly archiving of the new format statements would have required 22.5 terabytes of storage per month. Through Document Resource Optimisation, the monthly storage footprint was reduced to 375 gigabytes.

In terms of reuse, by extracting the common elements into a single file, information can easily be retrieved, reassembled and embedded in a variety of collateral documents for mail, email or online access through a Web portal. Managers and customers

have direct access to historical statements, year-end reports, reprints – any of which can be reassembled in real time and on demand according to brand guidelines and corporate policies. This same approach is equally effective for managing internal reporting and audit compliance.

The flexibility to reassemble documents “on the fly” also allows enterprises to recycle available data to cross-sell offers to targeted customers. They can extract data for in-depth document analysis and strategic marketing. In addition, materials can easily be recycled dynamically within customer-facing electronic statements to increase sales and improve efficiency.

THE TECHNOLOGY BEHIND IT ALL

The available optimisation solutions are specifically designed to integrate structured and unstructured data within the same platform and handle highly scalable volumes required. This transformational approach extends beyond simple data retrieval to support a broad range of multiple business applications – from print and archiving to e-discovery and records management. More importantly, it can be integrated seamlessly with existing technology investments to lower costs and improve overall efficiency.

A transformational solution can enable the following capabilities:

- Real-time data capture, translation, transformation and intelligent routing.
- Document composition and assembly.
- Document format transformation, indexing, and repurposing.
- Document and image archiving and migration.
- ERM archiving and ECM repository integration.
- Electronic message routing.
- Multi-channel content delivery.
- ePresentment for online statement/document viewing and access.

At the heart of this approach is a server-based infrastructure technology that manages the resources for data and document transformation.

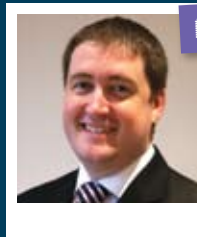
This can be done from a single location within the enterprise to enable the flexible sharing and exchange of information assets to support business intelligence and predictive analytics – among other enterprise-level functions.

A NEW APPROACH TO AN OLD PROBLEM

As organisations face uncertain economic times, they are under growing pressure to do more with less. This is particularly challenging in an operational setting where the volume and complexity of resources continues to escalate – and show no signs of abating anytime soon.

Transformation technologies are making it possible for enterprises to reduce, reuse and recycle their data to improve processes, speed information delivery and most importantly, contribute to a stronger bottom line. **iQ**

• This article first appeared in the March 2009 issue of the *Bulletin*, journal of the Records Management Society of Great Britain, and is reprinted with permission.



About the Author

JEFF MILLS is the Managing Director of Xenos Europe, in the UK. He is responsible for implementing the strategic plan for Xenos throughout Europe, Middle East and Africa. He joined Xenos in 1998 as a technical

consultant and held a variety of key positions before being appointed as EMEA Managing Director in 2004.

Jeff has more than 20 years of experience in the document and data industry, and a strong background in software application development. He can be reached at jmills@xenos.com. More information on Xenos can be found at www.xenos.com.



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SURVIVING A DOWNTURN:

How information management can aid recovery

Iron Mountain UK sees growth and looking beyond the current downturn as the focus for information management specialists. Optimised information management can help organisations to work faster, smarter and more securely, and provide a springboard for recovery.

BY MIKE DUNLEAVY

It's time to move the debate on, and that means talking about growth. Perhaps the received wisdom for businesses experiencing tough operating conditions is to rein in their ambitions. What I'm seeing, however, is more forward thinking chief executives seizing the initiative and using this time to optimise their business practices, placing their organisations in the ideal position to exploit new opportunities.

In a cyclical economy, downturn must be followed by recovery, and specialised information management is the perfect recovery platform. It is supported by three pillars: heightened security; improved efficiency; and lower costs. It is an attractive trinity at any stage of the economic cycle, but downturn makes the message resonate more powerfully and can propel information management to its rightful place at the top of the corporate agenda.

Story Snapshot

- Contends that factors are combining to turn information management into a 'perfect storm'.
- Argues that in tough times organisations should focus on growth and put information management in the hands of outsourced experts.

The range of support that specialist information management providers can deliver to organisations is extensive, but must be tailored to their needs if it is to be useful — something that at Iron Mountain we call Document Management Solutions (DMS). To put the DMS concept into simple terms; if your car isn't running properly you don't want someone to sell you tools, you want a specialised mechanic whose combined skills can make it run better than ever.

STARTING WITH SECURITY

So let me start with security. When times are hard, organisations need to focus on getting results, but information security and regulation can blur this focus. Information volume is rising while formats are proliferating, at exactly the moment regulators are demanding total management and security.

Organisations such as the UK's FSA, reports such as Hannigan and legislation such as MFID are creating an information environment that requires near-instant access, ever tougher controls and the reconstruction of complex hybrid information flows. It is an over-used phrase, but factors are combining to turn information management into the 'perfect storm'.

For many businesses this is a necessary but unwelcome distraction. It needn't be. A specialist provider, delivering flexible information management solutions such as DMS, can build in security and facilitate regulatory compliance. With digital documents being held securely online, the need for portable storage devices that can be lost or stolen becomes unnecessary. With a single chain of custody, information is always under control and can be delivered to regulators and employees quickly and efficiently. Combining with the deep understanding of a specialist provider, companies can retain focus on growth.

And lest we think the dangers of neglecting security are simply regulatory, it's worth noting that in 2004 the London Chamber of Commerce (LCC) estimated that 90 per cent of organisations suffering significant data loss go out of business within two years. That statistic reflected the state of play in a growing economy, so I think it safe to assume that a shrinking one heightens the danger of failure.

INCREASED EFFICIENCY

The LCC survey leads me into the second pillar, increased efficiency. It follows that if data loss can cripple a business, then retaining and using data more effectively can fuel success. Many companies see their data repositories as static — places where information goes to die. Working with Iron Mountain, one of our energy customers realised that historical information was actually a huge resource that the company could draw upon if only it could be identified accurately and accessed easily.

The traditional view of information storage — shelf upon shelf of boxed documents — was turned on its head. Information was rationalised, catalogued and scanned and made instantly available to staff around the world.

The energy company has turned what was perceived as a millstone into a dynamic resource that is able to leverage yesterday's information (and the investment that went into gathering that information) to make better business decisions today. Intelligent information management is helping them to work faster and smarter.



About the Author

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LOWER COSTS

In taking this one step further, we can see how effective information management helps to reduce costs. Outsourcing archived files is one thing, but active files are something completely different. If a file is active it seems obvious that it needs to be physically onsite. Using this logic, it appears that a company cannot escape significant costs in terms of storage space, retrieval hardware and software, and staff recruitment and training on non-core activities. But appearances can be deceptive.

Take the HR files of current employees; they are 'active' but may never need to be physically in the office. In these instances the whole active file store can be moved offsite into the hands of specialist providers — leveraging their expertise, economies of scale and state-of-the-art security facilities.

If access to a file is required, the specialist can rapidly retrieve and scan it, making it available from a secure online records centre in a matter of minutes. Should the need arise, the physical file can be securely transported to the organisation. The beauty of this solution is that the whole archive doesn't need to be scanned, only those documents that are needed, making it a cost effective and efficient use of information resources. Why scan all when you only access a few?

If we assume this kind of file status is quite common, you can see that removing active files from the equation is an attractive proposition, releasing acres of filing cabinets that sit in expensive central office space and saving the demand for 365 day a year resource. An active file solution can have a real impact on the bottom line; another of our clients, this time a global pharmaceutical company, estimated that the outsourcing of an active archive allowed it to free up half of its London office space.

Recovery in a tough market requires concentration, and in concentrating information management in the hands of specialists, companies can, in turn, concentrate on growth. This demands that our relationship with organisations goes beyond one of client and provider, assuming that of a trusted adviser.

In essence, we are not simply offering companies more effective ways to manage information; we are helping them to drive their business. Today, the business challenge is maintaining momentum, and companies such as ours have the specialised expertise to help companies grow. **IQ**

• This article first appeared in the March 2009 issue of the *Bulletin*, journal of the Records Management Society of Great Britain, and is reprinted with permission.

Doing More With Less Via Advanced Collaboration Technology

Forget video-conferencing.

Here, **DR MASAHIRO TAKATSUKA** tells *iQ* that new technology which his team is developing will make traditional workspace concepts redundant, and will reshape the way we share information and do business.



Interview Snapshot

- Australia is the ideal place to exploit ACT.
- Information sharing, offices and meetings as we know them may be things of the past.
- At-will collaboration with far flung colleagues, with automatic translation, is a real possibility.

iQ: Masa, why did you choose a career in academia?

MT: Honestly, I didn't want to wear a tie!

iQ: Your current research is focused on advanced collaboration technology (ACT). Research last year by Sydney University's Workplace Research Centre found that Australians are actually working longer hours than they have in years. Is advanced collaboration technology likely to reduce those hours, or simply allow us to achieve more productivity within those hours?

MT: Both. It is envisioned that advanced collaboration technologies allow us to access various remote resources – media resources, human resources, etc – and that will result in increased productivity. However, this also implies that you're also made available to others as remote resources. Hence, it is possible that your actual working hours could increase.

iQ: How widespread is old-style video-conferencing? What are its drawbacks?

MT: It's not widely used. I believe this is because the current video conferencing system only provides very minimal collaboration functions – video/audio connection and very primitive application/desktop sharing. This very rudimentary set of functions does not allow users to do "real" collaboration, which you would observe in the collocated collaboration.

iQ: How does the technology you are working on go beyond video-conferencing? Does it aim to create an at-desk tool that anyone can use, anywhere?

MT: Yes. Our advanced collaboration technologies target "spontaneous and intense collaboration". With our technologies, users will be able to establish collaboration sessions at any given time with any applications and tools you wish to use or share.

iQ: Considering the vastness of the Australian continent, is ACT an information sharing tool that is particularly relevant to Australia?

MT: Yes, it is extremely relevant. In order to fully utilise widely spread human and other resources, it is very important that Australia has adequate infrastructure to support high quality remote collaboration. Furthermore, I believe that such advanced collaboration technologies would be valuable tools for assisting in addressing other national interests such as environmental and economic issues and shortening social distances.

iQ: What progress have you made with your research? What stage are you at?

MT: We have completed various feasibility projects, and are now in the process of designing and building the foundation of the advanced collaboration system. Many collaboration services and tools will be deployed on this base infrastructure. We have also established collaboration with partners in Japan to carry out further research, development and testing.

iQ: Do you see this as a tool, like PowerPoint, that becomes an add-on? Or could this be incorporated into every computer sold?

MT: We see our infrastructure being more flexible and seamless. While we would ask each computer to have a very small thin-client software component, the majority of collaboration capabilities will be deployed as services on the Net – I'm talking 'cloud' – and automatically delivered, deployed and executed, allowing users to concentrate on collaboration itself.

iQ: Ultimately, what sort of user cost would be involved?

MT: If any cost is involved, I imagine that would be the cost to use certain third-party developed services, and possibly some account management. We hope many useful collaboration functions will be provided free of charge.

iQ: ACT, once perfected, would seem to permit many more people than now to work from home, or from remote locations, to the benefit of workers' families, the environment, and the bottom lines of organisations. Can you see a time when the current office model will be a thing of the past, with the majority of people working from home or remote locations, with the help of ACT?

MT: While many people value face-to-face physical contact during their work collaboration, past collaboration in the traditional workspace was shaped by the fact that there was not any adequate ICT-based communication/collaboration infrastructure in existence. I strongly believe that we're at the cusp of re-examining the form of workspace that we use, in order to further increase productivity and resource usage by fully exploiting the ACT.

iQ: How does your ACT work compare to similar projects overseas?

MT: Many of the existing ACT projects often look at improving ACT from technology's point of view. Hence, many advances in collaboration capabilities offered by those ACT are marginal, often resulting in user frustration. We're looking at it from the human point of view as well as perfecting the technology.

iQ: Who would implement your perfected technology?

MT: We're currently concentrating on designing and implementing the foundation of advanced collaboration infrastructure, on which another developer can develop and deploy useful collaboration technologies independently.

iQ: A major corporate technology or communications partner?

MT: Yes. Certain government funded research institutes and software and communication companies have expressed their interest.

iQ: Search has become the key information tool for Internet users. A February 17 report by US analyst firm CMS Watch has found that Yahoo's Web Analytics are streets ahead of those of Google in terms of better access control and simpler approach to multi-site analytics, larger default monthly page-view limits, the ability to export out your own raw, unaggregated data, and longer historical availability of raw data. Are these all important factors in choice of free search engine?

MT: I'm not sure. That would be up to the individual user.

iQ: Could Search be incorporated into ACT in some form? In other words, could an ACT user ask their computer to automatically find, then set up a meeting with people working in their sphere elsewhere around the country or around the world, or at least introduce them?

MT: Certainly. One of my PhD students is looking into the use of search technologies to assist users to find resources and to dynamically construct task capabilities on the fly. The search capability would be the core of such collaboration services.

iQ: Could ACT have an automatic translation component, to allow us to talk live with someone who cannot speak our language?

MT: Of course. It will be the important component of ACT. But I believe the more important component would be the "cultural translation/interpretation". Where ICT failed to capture and communicate subtle cultural differences, the remote collaboration would have a high chance of failure. I strongly believe that in order to fully support multi-cultural remote collaboration, we need to incorporate a "cultural translator".

iQ: What is your opinion of recent proposals to censor the Internet? Is censorship desirable, warranted, possible? Could it be applied to ACT?

MT: Keeping the entropy low is the difficult task. I believe that censorship will play a significant roll in maintaining the low entropy on the Net. We believe that under our ACT infrastructure, such censorship capabilities can be deployed and used as a part of cloud services.

iQ: The RMAA is recommending to its members that, in these tough economic times, they make themselves an indispensable asset to their organisations by showing how they can more than is expected of them for less than expected. Chairman David Pryde tells of how he has been conducting a corporate audit of the Auckland University of Technology to identify and remove duplication in records storage, with the result of considerable cost savings. Are there, from your experience, other examples of ways that managers can make themselves indispensable assets?

MT: I believe that managers in general have considerable business experience, and I would say that workers would appreciate that senior managers externalise their tacit business knowledge and capabilities, and create a good set of standard business processes.

These tough economic times would give us an ideal opportunity to transfer various types of tacit knowledge through intense manager-worker interactions, which might be difficult to have during busy periods.

iQ: Any other thoughts on management strategies for tough times?

MT: I strongly believe that the effective use of ACT and the success of ACT depends on how senior managers change their own business, political and other cultures. We probably need more open forums and opportunities for discussion to iron out any obstacles that those managers, who are not familiar with ACT, will face. **iQ**

iQ: Thank you, Masa. And good luck with your ACT developments. The possibilities sound fascinating.**About our interviewee**

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The New Federal Court Practice Note on e-Discovery: Implications for Records Managers¹

After a process spanning 18 months, the Federal Court of Australia has released Practice Note No 17 – “The use of technology in the management of discovery and the conduct of litigation”. Here, for *iQ*, the Sydney Manager of leading law firm Potter Farelly & Associates assesses the implications for records managers.

BY DAVID MCGRATH

The final version of Practice Note No 17, whilst removing some of the more onerous and contentious measures in the draft, breaks new ground in guiding parties to litigation and their legal representatives down the path of more efficient document management.

Parties will be required to manage documents electronically in litigation. This is because the new practice note enables the Court to order discovery in electronic format in cases where there are as few as 200 relevant documents, *created or stored in electronic form*, provided this will assist with the quick, inexpensive and efficient resolution of proceedings.²

The court also makes a number of observations on document management practices, and what it expects parties to do to manage documents efficiently.

Key considerations for records and information managers include:

- a pre-discovery conference to discuss document management and related discovery issues early
- a pre-discovery checklist outlining issues the parties should consider
- an expectation that parties should exchange electronic documents in *useable, searchable format or in the format in which the documents are ordinarily maintained*

- a *default* document management exchange protocol (DDMP) for matters with between 200 and 5000 documents

- an *example* advanced document management protocol (ADMP) for matters with more than 5000 documents.

The practice note is to be applied in a manner which gives effect to the overarching purpose of the Federal Court's Individual Docket System, ie, the just resolution of disputes as quickly, inexpensively and efficiently as possible. Parties and their representatives are expected to cooperate with, and assist the Court in achieving this purpose”.³

EFFICIENT DOCUMENT MANAGEMENT

The focus of the previous practice note, released in April 2000, was to encourage the use of technology to manage larger volumes of *hardcopy* documents. The electronic systems involved significant costs, including the manual numbering, imaging and indexing of documents⁴ to prepare them for the system. The associated benefits, though many, were harder to measure although it was clear that they increased along with the volume of documents.

The court therefore encouraged the parties to agree to using these systems if they believed they would be discovering more than 500 documents between them, however use of the systems

Story Snapshot

- New ground has been broken in relation to use of documents in litigation.
- The focus is now on electronic documents.
- There is a greater onus on proactive document management early in the litigation process.

was largely discretionary. While some practitioners embraced the new technologies, others rejected them, and much seemed to turn on the docket judge's attitude to technology.

The focus is now clearly on electronic documents (eg email, spreadsheets, Word documents etc) rather than hardcopy documents. With the exponential rise in the volume of electronic data created and stored in recent years, more of this information is naturally finding its way into litigation.⁵

In terms of document management systems for litigation, electronic documents offer clear advantages over hardcopy documents, with the document preparation costs anywhere between 50%-80% lower than for hardcopy documents, and as most are text-based they are amenable to content searching for specific words or phrases. The court has emphasised through its insistence on documents being exchanged in searchable format that this text search capability should be retained throughout proceedings.

Electronic documents of course also create a number of issues. This results from their overwhelming volumes, varying qualities of management, potential for duplication, intermingling of relevant and irrelevant documents, differing file formats and vulnerability to modification. The court clearly considers that these electronic documents need to be managed efficiently to minimise costs.⁶ This will usually preclude the printing of electronic documents for discovery which it generally regards as being a 'waste of time and money'.⁷

Nor have hardcopy documents been overlooked. The court also considers the multiple photocopying of paper documents to be 'generally a waste of time and money'⁸ implying that they should also be added to the electronic document management system.

PROCEDURE AND THE PRE-DISCOVERY CHECKLIST

In order to electronically manage documents effectively and economically, the court directs parties and their representatives to consider a number of issues early, including:

- preserving potentially discoverable documents in their original format;⁹
- limiting the scope of discovery as far as practicable in accordance with Order 15 rules 2 and 3 of the Federal Court Rules and Practice Note No 14¹⁰
- determining strategies for conducting a 'reasonable search' in accordance with Order 15 rules 2(5) of the Federal Court Rules, eg, data mapping with or without keyword or other types of searching;¹¹
- managing documents electronically through collection, processing, analysis, review and exchange;¹²
- a timetable for discovery and estimates of discovery cost;¹³ and

- managing privileged and confidential documents;¹⁴ and
- agreeing a document management protocol including the document exchange format.¹⁵

When considering these matters, parties should have regard to the issues in dispute and the likely number, nature and significance of the documents that may be discoverable in relation to them.¹⁶

STRATEGIES

Under the new practice note, there is a greater obligation for parties to proactively manage document management issues early in litigation.¹⁷

Preservation

The first step is to ensure that a reasonable preservation strategy is implemented once litigation is on foot or reasonably apprehended¹⁸.

In addition to instructing people within the organisation not to destroy any potentially relevant information, further steps may need to be considered such as suspension of document destruction processes and quarantining repositories of potentially relevant electronic documents (including emails and other business documents). Consideration may need to be given to putting major information system work such as upgrades and data migrations on hold. A review of backup tape procedures may also be required.

A failure to adequately address the reasonable preservation strategies item in the pre-discovery conference could compromise your organisation's prospects in the action should allegations of destruction of relevant information or even inadequate discovery arise during the litigation. Damage to commercial reputation is obviously an important risk to consider.

Reasonable Search

Another early step is identification of the potentially relevant document set. Although determining what is potentially relevant is obviously a legal judgement, there are a number of ways in which information managers can assist.

The lawyers will have considered factual and legal issues in dispute, allowing material dates, key people and relevant categories of documents to be identified.

You will assist by providing a map of the information stores within the organisation which could yield potentially relevant information. This map should include both hardcopy and electronic stores of information.

In relation to your electronic systems, the map will identify your network layout (PCs, server, remote devices etc.), shared, personal and remote stores of information, software applications, information management practices and information flows. A number of other relevant matters such as compliance with organisational information management practices will likely arise during the course of these inquiries. You should also consider relevant communications between your organisation, parties to the litigation and third parties.

By combining the map with key people, dates and categories, both locations of potentially relevant documents as well as their type (eg, email, spreadsheets, word documents, PDF, Web pages, hardcopy etc) will be identified.

In relation to the electronic documents, technologies such as keyword search to search potentially relevant stores of information for responsive documents may be used. Care will need to be used when designing these searches and ideally agreement should be reached on an appropriate 'search protocol' at the pre-discovery conference.





High Court of Australia, Canberra

You will then be able to identify the likely volume and types of documents as well as the ease and cost of their retrieval which will be critical to arguing any point that the burden of discovery of any category of documents outweighs its probative value. They should also have a clearer picture of what possible sources and types of documents other parties and third parties to the litigation hold.

This information is also critical to formulating a cost effective plan for electronic document management.

Electronic Document Management Plan

A cost effective but robust strategy for the *collection, processing, analysis, review and exchange* of documents can now be devised.

This will include consideration of a range of technologies and methods to facilitate each step in that process, including:

- **collection** – forensic imaging or straight file copy;
- **specialist restoration** – eg, from legacy backup tapes, damaged data in potentially relevant document sets etc.;
- **filtering** – keyword search, concept search, file typing, folder review, exact de-duplication;
- **analysis** – data analytics, concept clustering, near de-duplication clustering, email chain analysis;
- **document processing** – document numbering, bursting compressed files, metadata extraction, conversion to image format, supplementary objective coding, scanning hardcopy documents;
- **handling methodologies** – contemporaneous notes, chain of custody forms, secure storage and transportation, forensically sound processing, preservation of original set;
- **preliminary native file “ingestion” review platforms** – eg, Wombat Legal, Clearwell, Attenex; and
- **review/case management system platforms** – eg, Ringtail, Signature Summation, Caselogistix or Concordance

There is no one size fits all solution. An optimal result in a particular matter can only be achieved by carefully considering the range of tools and methodologies available, and selecting those which provide the best combination of fit, risk management and cost.

Document Exchange Protocol

Formulation of the plan will lead to development of a suitable document exchange protocol. The document exchange protocol covers a number of points including document numbering,

» “ATTENTION TO PROPER PLANNING AT THE OUTSET CAN RESULT IN SIGNIFICANT COST SAVINGS OVER THE COURSE OF THE LITIGATION” «»

document exchange format, what document description information to exchange and how to exchange privileged and confidential documents.

A key consideration will be the extent to which documents are exchanged as text searchable images rather than native electronic format or non searchable images.

Pre-Discovery Conference Preparation

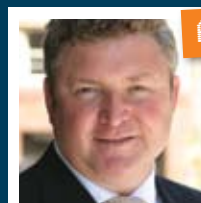
Once the above steps are completed, all issues in the checklist can be addressed including timetable and preliminary costs.

Building the Right Team

The multi-disciplinary nature of this task requires a cross-functional team to do it well. A number of staff from within your organisation including records management, information technology, business and legal areas will be involved. It will also include the involvement of your external lawyers.

You will also require highly specialised e-discovery expertise. This e-discovery expertise will include a detailed knowledge and experience of the litigation process and the techniques used to effectively manage documents in litigation. Sufficient knowledge of the other areas (technology, information management and legal) is also critical, as is an understanding of, and access to, appropriate computer forensics skills.

As with any cross functional team, proper communication and coordination between the areas of expertise is essential. The e-discovery expert should be able to act as an effective communicator within the team.



About the Author

DAVID MCGRATH is the NSW/ACT Manager with Potter Farelly & Associates, in Sydney. He holds combined degrees in law and technology, and postgraduate qualifications in technology management. He practiced

primarily as a litigation lawyer for six years before crossing to the legal technology area. For over twelve years he has consulted to law firms, courts and major corporations on issues involving technology, documents, and litigation, working with the Applied Legal technology groups at Clayton Utz and Mallesons Stephen Jaques. David has published a number of articles and contributed to the development of electronic document exchange protocols.

There are numerous examples of cases where a poorly managed e-discovery has landed the parties and their lawyers in hot water or at least adverse outcomes. Two relatively recent cases where e-discovery has "run off the rails" include Leighton Contractors Pty Ltd v Public Transport Authority of Western Australia¹⁹ and GT Corporation Pty Ltd v Amare Safety Pty Ltd.²⁰

In Leighton Contractors, the fact that five months recovery of backed up emails from backup tape had already taken place before the court considered whether recovery of those materials was justified was a critical factor in the exercise of the court's discretion to order that further discovery. This was despite the court also finding that the burden of giving discovery of those documents was disproportionate to their potential probative value.

In GT v Amare, the forensic experts retained by the applicant were permitted to liaise directly with the respondent party's IT experts regarding electronic discovery. Disclosure of privileged material occurred during discovery although exactly why or how was not explained to the court. What was clear, in the judge's view, was that the form in which discovery was given was unsatisfactory and contributed to the problems.

Hollingworth J commented: *"I have no doubt that the manner in which [the applicant's] electronic discovery was provided, together with the complete lack of any index, has contributed significantly to the problems which have subsequently arisen"*.

In the United States, severe sanctions have been handed down in a number of matters involving inadequate (or perhaps improper) e-discovery, including \$8,568,633.24 in Qualcomm Inc. v. Broadcom Corp.²¹

Getting on the Front Foot

There are significant rewards awaiting organisations who take early control of e-discovery. Attention to proper planning at the outset can result in significant cost savings over the course of the litigation.

This is because one of the aims of an effective e-discovery process is to legitimately reduce the volume of potentially relevant documents as early as possible. By reducing the document volume, you can significantly reduce the aggregate costs of the two most expensive stages of discovery – document processing and legal review.

Conversely, a poorly executed e-discovery process can result in the unnecessary processing and legal review of literally thousands, or even tens of thousands, of documents.



BIBLIOGRAPHY

1. Readers should note that portions of this article have been reproduced from an article by the same author appearing in the March 2009 edition of the New South Wales Law Society Journal and the March 2009 edition of Australian Corporate Lawyer magazine.

2. PN No.17, Paras 1.2, 1.3
3. PN No.17, Para 3.1

4. By descriptive information such as date, type, author, recipient, and title
5. PN 17 Para 5.1 (a)
6. PN 17 Para 5.1 (b)
7. PN 17 Para 5.1 (c)
8. Para 5.1 (d)
9. Pre-Discovery Checklist, Para 5
10. Pre-Discovery Checklist, Para 2;
11. Pre-Discovery Checklist, Para 3
12. Pre-Discovery Checklist, Para 4
13. Pre-Discovery Checklist, Para 6
14. Pre-Discovery Checklist, Para. 7. See also paragraphs 12 of the DDMP and ADMP
15. Pre-Discovery Checklist, Para.
16. Pre-Discovery Checklist, Para. 1.3
17. It is outside the scope of this article to consider appropriate information management practices prior to litigation.
18. See British American Tobacco Australia Services Limited v Cowell (as representing the estate of Rolah Ann McCabe, deceased) [2002] VSCA 197 (6 December 2002). See also the Crimes (Document Destruction) Act 2006 and Evidence (Document Unavailability Act) 2006.
19. [2007] WASC 65 (22 March 2007)
20. [2007] VSC 123 (25 May 2007)
21. 2007 WL 2296441 (S.D. Cal. 2007)

What is clear, is that legal practitioners haven't always managed their documents efficiently in the past. Some practices engaged in, such as the printing of electronic documents and the repeated photocopying of printed documents, have been highlighted in the practice note as generally being 'a waste of time and money and rarely necessary'.

In order to ensure that your next discovery is sufficient yet not unnecessarily expensive, ensure that you start on the right foot. **iQ**



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In Praise of Google



In the UK, librarians and other information industry professionals loathe the search engine Google, claiming it has dumbed down information gathering. Yet, CIBER behavioural research at University College London overwhelmingly indicates that Google is the industry's friend, not its enemy.

BY PROFESSOR DAVID NICHOLAS
AND DR IAN ROWLANDS

Research by the Centre for Information Behaviour and the Evaluation of Research (CIBER) at University College London has majored on describing, visualising and evaluating digital information environments in great detail using a method called deep log analysis.

As part of this research the 'digital footprints' of millions of digital information consumers in a wide range of strategic information environments (health, media, publishing, academe and charities) have been captured and evaluated, creating an evidence base of unparalleled size. It is not only the size of the evidence base that should make us all take note but also its robustness, because it is based on how people actually behaved and not how they thought they behaved, or might behave in the future.

When you look at this behaviour you cannot but help notice the massive impact that search engines, especially Google, have had. They have transformed information seeking behaviour and generated enormous amounts of traffic for every type of site you can imagine. And yet Google is unpopular with librarians, and for many it has replaced Elsevier as the Prince of Darkness. Professional conferences often end with rallying calls to hold the faith (and nerve) and fend off Google.

Why would librarians of all people feel so negatively about what is after all a retrieval tool and one which has made searching for information a universal activity, indeed, the most popular activity on the Web? Google has placed information in full public view, and for that the Chartered Institute of Library and Information Professionals (CILIP) should have awarded it a prize, but it has not, as far as we know.

Surely this has to be a case of sour grapes – a commercial search engine has trail-blazed the virtual information space and been the main architect in the creation of a knowledge society. Elements of the profession are blaming Google for their own failure to make a success out of the digital transition.

Their chief moan is that Google has made searching too easy, it has been dumbed down, and to do this when information professionals are arguing the case for intermediation on the premise that searching is *difficult* clearly rankles.

Actually, most information professionals do not know how Google has really impacted upon end-user searching and are arguing their case on nothing more than anecdotes and PowerPoint presentations. This article provides the irrefutable evidence of Google's achievements.

THE GOOD THINGS ABOUT GOOGLE

Google is massively popular with digital information consumers of all kinds

Everything we know about the digital consumer and their information seeking behaviour tells us that they have an insatiable appetite for using search engines, especially Google. Google makes searching easy and fast and these are key information seeking attributes as far as digital information consumers are concerned.

Story Snapshot

- Research shows that the Google search engine is massively popular.
- Google encourages greater use of information resources.
- Google does not necessarily represent a 'dumbing down' of information users.

“GOOGLE MAKES SEARCHING EASY AND FAST AND THESE ARE KEY INFORMATION SEEKING ATTRIBUTES...”

Thus, the majority of scholarly? users (the proportion normally varies between about two-thirds and three quarters) find a relevant site through the use of Google and similar search engines. In the highly influential e-shopping field search engines are also an increasingly dominant force.

In 2007, approximately a third of Internet users employed a search engine to find a site – even if they had visited the site before – whereas in 2003 the proportion was just a quarter.

Search engines are even popular with specialist researchers. This is well demonstrated by the case of nucleic acid researchers CIBER studied (Nicholas, Huntington and Jamali, 2007a). As a consequence of the journal *Nucleic Acids Research* (NAR) opening its content to Google, use rose by 143% in two years. Given that NAR is a well-established research journal with a defined, very specialist readership, the fact that so much growth could occur in such a relatively small time has to be regarded as astonishing.

To put this into perspective a parallel 'open access' publishing initiative, demolishing the subscription wall around this journal's content, delivered an increase of little more than 10%.

The trouble with librarians is that they continue to see Google as a resource discovery tool (dreadful phrase!) and not as a way of life.

Google is especially popular with young people (the GoogleGeneration)

CIBER research has not only pointed to the massive and growing popularity of Google searching and how it makes content accessible in both specialist and general public areas, but also to the fact that it is especially popular amongst future scholars and the GoogleGeneration.

The younger the information seeker, the more likely they are to attempt to resolve an information need by keyword based retrieval via the use of search engines – 79% of young people using the British Library Learning site arrived via a search engine.

As these people join the job ranks they are unlikely to change their behaviour, it is embedded. There is thus a danger that if librarians do not embrace Google young people could be decoupled from traditional information sources, something which could have important repercussions for e-citizenship.

Google offers the ultimate one-stop information shop

Even with very specialist, sometimes esoteric fields of inquiry, the notion of discipline-specific (or walled garden) databases seems to have become a thing of the past, being replaced by incomplete generic services like Web of Science, Science Direct and, of course, Google.

The digital consumer is highly pragmatic - their attitude is that if the information is not found immediately, in one place, it is not worth looking for. What is really interesting is that the Google search interface is simplicity itself and seems well suited to the smash and grab or quick in-and-out approach of the digital information seeker. Of course, it also promotes this type of behaviour.



» “INFORMATION USERS HAVE BECOME VERY CANNY AND CYNICAL, BUT A LOT TRUST GOOGLE, AND THE YOUNGER THEY ARE THE GREATER THE TRUST” «

What consumers do not like doing is using limited coverage resources; they really want a one-stop shop where they can find everything, not just what is available from one publisher or one library. The idea of using many different databases and having to be familiar with all their individual features are an anathema, librarians please note.

And, crucially, it is not just a one-stop information shop; it is in fact a one stop shop for everything. The digital consumer multi-tasks and moves seamlessly from checking their email, searching a database, buying a book, and booking a holiday and Google provides the platform to do that. Google offers what all consumers want – massive choice and freedom.

Google has very, very high visibility in a relatively anonymous information environment

In a very large, anonymous, volatile and crowded information environment there are huge benefits to being visible. You only search what you can find easily or most remember (not necessarily what you need) and in this regard Google scores highly and 'official' (publisher, library or government) information badly by comparison.

Indeed, there is a lot of evidence to show that people leave their memories in cyberspace (typically with Google). Google

has huge visibility and this leads to the huge rewards in terms of volumes of traffic. Experiments in the health field concerning health videos on demand demonstrate conclusively that moving a topic from the home page of a site to another part of the site can lead to immediate and big losses of use of the order of 25-40% in a month.

What happens is that the people who first saw the health topic on the home page come back but not the new users who we know only look at a page or two before they leave and therefore are unlikely to see the item. Of course, the homepage of the Web is Google.

Google is convenient and universally accessible

Many people conduct their searches away from the office and amongst the general public the proportion is much higher. Not surprisingly the home user is an even greater Google user than the work user, frequently accounting for 90% of traffic to a site. Google enfranchises the general public in information terms.

Google opens the information horizon and encourages greater use of information resources

Despite the fact that the average search engine query contains just 2.35 words people who use search engines view a greater number of sources, journals, articles and from more subjects and a greater range of years. The wider choice offered by the search engine and the shotgun approach to retrieval is the reason why.

Google attracts trust and is held to be authoritative

The digital environment provides massive information choice, a complexity of information providers and a patch-work quilt of information provision, and this means judgement calls on trust and authority are extremely difficult to make, especially at the speed the consumer likes to move around in this space.

In such circumstances it is not surprising that digital information consumers make up their own minds as to what is authoritative (and what is not) by personal cross-checking and pointedly ignore kite marks and establishment symbols of authority, often preferring the wisdom of the crowd.

Information users have become very canny and cynical, but a lot trust Google, and the younger they are the greater the trust. The tables have turned in many respects. It is increasingly not the content provider (if they can even be detected) but the search engine (Google) that provides the authority and brand.

If you ask people, as we have often done, whose information it is they are viewing, they very often get it wrong. Amongst the general public, more often than not, they think it is Google's. When you correct them and tell them, for instance, in the case of health information it is the National Health Service, they are often disappointed, believing that Google is a more trusted brand - they do not leave patients in corridors on trolleys! The information brand is Google, so why not piggy-back on its success?

Google is fast

Speed is the information seeking attribute valued most by the digital information consumer. They want instant results and instant gratification and speed trumps quality. Google is fast, very fast.

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Google is free

Finally, Google is a popular, tried and tested product and it is free to use. Beat that!

CONCLUSION

The arguments for Google are numerous, telling and persuasive, especially given the fact that they are based on the evidence of what people do in the digital environment. Google is *the* digital consumer's preferred intermediary and information brand. Google understands well that everything in the virtual shopping mall that is the Web requires you to search because this is a large, volatile and invisible space.

So what are the main grounds for complaint? Yes, it is true that the characteristics of today's digital information consumer can be best described as promiscuous, bouncing, checking, viewing (rather than reading), navigating and power-browsing, and this form of behaviour has partly been fashioned by search engine searching (Nicholas et al, 2008a).

But does this really represent a dumbing down, or simply a paradigm shift from vertical to horizontal information seeking behaviour? There is also, of course, the possibility that it was always so, it is just that in the virtual environment we are able to see things we could never observe in the hard-copy, bricks and mortar world.

In many respects what you believe comes down to whether you believe in an essentially consumer-led solution to information seeking and usage (the provision of massive, rich and unfettered choice), or the information professional, interventionist one (build a walled-garden, maintain professional control, Google out and federated search engines in).

It also comes down to whether the information tide can be turned, and all the CIBER data suggests you would be flying in the face of the evidence if you believe so.



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To deny what Google has done to improve access to information, for all, and not to follow its lead, will surely lead to the decoupling of the profession from the user/consumer base. The words of E M Forster (1910) are especially pertinent in this regard: 'Only connect, and the beast and the monk, robbed of the isolation that is life to either, will die. ...Live in fragments no longer. Only connect...'

Of course, it is the Web (and Google) that connects and the beasts and the monks are the information professionals isolated from what is actually going on. The Internet is taking user/consumer connectivity to a new level, where the collective intelligence is shared. Who will need a gatekeeper then? **iq**

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Mixing Petroleum, Water, and Information Management to Create a Safer Working Environment

The consequence of mismanaging information has far reaching consequences to the health and safety of personnel in the offshore petroleum industry. The National Offshore Petroleum Safety Authority (NOPSA) was established to administer offshore petroleum safety legislation. As an integral part of this role, NOPSA needed an information management solution to facilitate core regulatory systems and support business processes.

BY JOHN TOWNSEND



A NOPSA inspector
aboard the *Karratha Spirit*



Story Snapshot

- Mismanagement of information puts the lives of people in the offshore petroleum industry at risk.
- NOPSA has implemented an ECM to improve safety and security in the industry off Australia's shores.

NOPSA is an Australian Commonwealth statutory agency responsible for properly controlling all health and safety risks in the offshore petroleum industry; administering legislation; and promoting continuous improvement in the management of health and safety within the industry.

The petroleum industry is a high risk industry that can be extremely hazardous and employs an estimated 14,000 people. Following the North Sea's Piper Alpha oil and gas explosion in 1988, in which 167 people lost their lives, the primary cause of the disaster was tracked back to a failure of information process and management. This prompted a legislation change in Australia to ensure enhanced occupational health and safety regimes were introduced. It required a documented safety case for all offshore facilities.

NOPSA was established to provide a modern 'duty of care' health and safety regime that would reduce the risk of disasters such as the Piper Alpha explosion reoccurring. Information, together with consistently executing regulatory and administrative processes, is critical to the effective performance of NOPSA. The consequences of mismanaging information and processes could significantly impact the health and safety of people working within the industry.

Tasked with this important role, NOPSA developed an Information Strategic Plan and undertook a competitive evaluation process to find an information management solution. As a result, we selected Objective to provide an enterprise content management (ECM) solution.

NOPSA uses Objective for electronic document management, records management and workflow to form a single information repository that manages all of its unstructured information and many of its information-intensive business processes.

As a regulator, we demand of our offshore operators a high degree of management and control of information and processes. We believe it to be incumbent on us to operate under these same demands.

The Objective solution underpins NOPSA's entire operations: from safety assessments, audits and inspections through to corporate administration such as finance and human resources. It is an integral part of NOPSA's Information Strategic Plan and facilitates core regulatory and administrative systems and supports their core business processes.

IMPLEMENTING CHANGE

Initially, NOPSA closely examined its information management processes. Previously, the organisation had a small and disorganised collection of files and documents on a shared drive. A solution was required to effectively manage documents enterprise-wide, while meeting recordkeeping compliance requirements in a regulated environment.

We needed to demonstrate a sound, secure and robust information repository that provides a secure audit trail of all actions that affected a record, in the event of an investigation.

For example, if the Authority is challenged to prove the validity of its assertions in a major investigation, we are able to quickly and efficiently gather all of the related information. We have a robust audit trail of processes and decisions and how those decisions were made.

For this reason, we have documented our regulatory and administrative business processes in a quality management system, and Objective is a vital cog in this framework.

NOPSA is a small agency with a highly mobile workforce, and the majority of NOPSA's staff are Health and Safety Inspectors who travel to offshore facilities for inspections, to investigate incidents and enforce regulations.

Objective has been able to greatly assist this mobile workforce to quickly and easily gather essential background research information, such as:

- Previous reports on specific facilities.
- Issues that were flagged as important.
- Any recommendations made.
- Recommendations that were made for similar facilities.

With limited Internet or network access on offshore facilities, all new work produced by our inspectors is easily managed and synchronised with the corporate ECM system using Objective Offline when Inspectors return to the office or re-connect.

A CIO'S PERSPECTIVE ON CHANGE MANAGEMENT

Managing change is the most important part of any project. The essence of change management is helping people embrace the technology and making it work.

From our experience at NOPSA, achieving a successful ECM implementation should take into consideration the following highlights:

- Address the 'human factor' first, don't just focus on systems and solutions.
- Communication is key; ensure that staff understand the importance of records and the need to follow an agreed procedure.
- Address the whole scope of information requirements, not just paper records. Think about all forms of structured and unstructured information that should be included in planning. For example, physical objects, evidence and metadata.
- Focus on records and not just documents; recognise the corporate value of your information.
- Identify the key drivers for implementation.
- Identify what will change in your organisation and document workflows.
- Identify what parts of your business processes will involve managing information and records.

- Train a leadership group to help investigate and manage change at the user level.
- Monitor system usage; communicate with staff about how they are using the solution and what can be improved.
- Training and constant re-training is important. Consider the value of customising the training materials.

An ECM solution is not a toy. It takes considerable resources to establish the business rules; install and maintain it; provide training in its use and monitoring of end users. The solution we chose is robust, fit for purpose and meets our functional needs. The real challenge is to ensure that our staff use the system properly, and that we set and meet their expectations. We continue to work with Objective to manage the process of change and to look at processes from the perspective of all stakeholders using the solution.

This ECM is enabling NOPSA to manage the full life-cycle of all our unstructured information. Enhanced management of our information has allowed the agency to improve efficiency and effectiveness of business processes within the organisation.

NOPSA can now rely on a robust repository and workflow engine to implement processes and support the integrity of its operations.

ENHANCING FUTURE SAFETY

Objective was selected on the basis of its scalability and flexibility to meet NOPSA's growing business needs. Moving forward, NOPSA will use this ECM to support its growth and provide greater access to information management tools irrespective of the geographic location of its staff.

For example, the ECM will be used to support Safety Case Assessments. Offshore operators are required to submit Safety Cases and gain approval from NOPSA prior to commencing any activities. Objective's ECM solution will help NOPSA control the process of assessing and approving Safety Cases, monitor progress against deadlines and generally improve efficiencies enabling them to be more responsive to their industry.

Objective will help NOPSA process the Safety Cases efficiently, enabling us to be responsive to our industry. It will improve the reliability of our business processes and improve communications with our stakeholders. **IQ**



About the Author

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PART 1

Understanding the role, place and potential of the ‘Statement of Knowledge for Recordkeeping Professionals’¹

In 2006, the ASA/RMAA Joint Education Steering Committee completed the ‘Statement of Knowledge for Recordkeeping Professionals’. In two parts, this article aims to explore the context of the Statement of Knowledge, its origins, purpose, content and where it sits within the wider recordkeeping education framework.

BY **MARIAN HOY**, MRMA



Is the Statement of Knowledge just one more example of a statement or set of competencies of skills, knowledge or attributes, or does it have something else to offer the recordkeeping profession? Why do we, in Australia, have both the Recordkeeping Competency Standards and the Statement of Knowledge for Recordkeeping Professionals? How do they compare with competencies of other information-based professions?

Descriptions of knowledge, skills and attributes, such as the Statement of Knowledge, can influence the education, work and self-identity of every recordkeeping professional. Exploring the descriptions of knowledge, skills and attributes, referred to loosely as 'competency frameworks', of other information-based professions and the research framework will also add to the context of the Statement of Knowledge. My next article will discuss the future of the Statement of Knowledge and what might influence its direction.

INTRODUCTION

This article seeks to explore the origin, development and place of the 'Statement of Knowledge for Recordkeeping Professionals'.² The Statement was developed jointly by the Australian Society of Archivists (ASA) and the Records Management Association of Australasia (RMAA) to describe the knowledge that defines the recordkeeping profession and which should be acquired by recordkeeping professionals through education, work and continuing professional development.

The Statement of Knowledge (the Statement) was one of the key recommendations arising from the 2003 Archives and Records Education Stakeholders (ARES) Forum in 2003; to produce a high-level statement that would 'identify exactly what is the body of domain-specific professional knowledge that recordkeepers require and that should form the content of courses'.³ The Statement of Knowledge sought to provide a foundation for articulating the knowledge that was unique to the recordkeeping profession and not likely to be the domain of any other profession.

To understand why the ASA and RMAA developed a Statement of Knowledge when there are already many competency frameworks that cover knowledge, skills, behaviours, attributes or qualities, it is essential to explain some broader concepts. These broader concepts relate to Australian education frameworks and education for the recordkeeping profession. They are complex, and consensus has not been achieved about how they best support the profession. In this article, the term 'competency framework' is used in an embracing way to describe various combinations of knowledge, skills and attributes of an occupation or profession.

The article will firstly discuss these broader concepts, what they look like and how they influence the purpose and place of the Statement of Knowledge. The discussion will then focus on the origin, development and practical uses of the Statement of Knowledge in education, at work and for professional development. The article will conclude with some ideas about future directions of the Statement of Knowledge, links with the research framework and its continuing relationship with the recordkeeping competency standards contained in the *Business Services Training Package*.⁴

CORE CONCEPTS

Four concepts or frameworks have had a particular influence on why the Statement of Knowledge was developed and how it is now used by the profession. These are the concepts of

» "THERE IS NO CONSENSUS IN THE EDUCATION OR THE RECORDKEEPING LITERATURE ABOUT WHAT THE CONCEPT OF COMPETENCE MEANS" «

recordkeeping as a profession, competence, recordkeeping competency standards and the Australian Qualification Framework (AQF).

RECORDKEEPING PROFESSION

Picot (2001)⁵ and Pember (2007)⁶ both reveal that the concept of recordkeeping as a profession emerged during the late 1990s in response to the growth of electronic business environments, and in part in recognition of a perception by the business community that the term 'recordkeeping' had more relevance than archives and records management.

Three groundbreaking initiatives in particular contributed to the emergence of recordkeeping as a profession:

- The publication of the new Australian Standard *Records Management* (AS4390), which provided a new framework to describe work processes;
- The development of the new records continuum theory to manage records in an electronic business environment; and
- The initial development of the archives and records competency standards and more especially the 2001 review of these standards which determined that 'archivists and records managers performed recordkeeping processes differing only in emphasis or primary focus but which required the same fundamental competencies'.⁷

COMPETENCE

There is no consensus in the education or the recordkeeping literature about what the concept of competence means. Burns (2002), for example, offers two different approaches to the concept of competence in a discussion about the adult learner at work.

This first definition is task and performance orientated independent of the individual, also described as a positivist paradigm or tradition.

The most widely held conception of competency is that it is task-based, conceived in terms of discrete behaviours associated with the successful completion of atomised tasks. Competency is not an overt observable behaviour but inferred from performance.⁸

This second definition considers the individual in understanding the concept of competence and is referred to as humanist. The major alternative paradigm is a situation or interpretive one, which recognises that people give personal meaning to experiences; meaning grows from the way individuals react with the world. Competency-based training in this paradigm is a thoughtful process reflecting interaction between context, culture, social practice, experience and personal attributes used to achieve outcomes in jobs located within organisational-particular relationships.⁹

» “IT IS ESSENTIAL THAT ARCHIVISTS AND RECORDS MANAGERS UNDERSTAND THE THEORY THAT UNDERPINS THEIR PROFESSIONAL PRACTICE” «

Edwards and Knight (1995), in discussing competence in relation to higher education, further highlight the ongoing contest between the positivist and humanist paradigms of competence.

The tension lies in a distinction between an emphasis on the assessment of key aspects of performance in context and an emphasis on the developing knowledge and culture of the subject or profession into which the student is being inducted.¹⁰

Anderson (2003) continues the debate in the archives and records literature.

It is essential that archivists and records managers understand the theory that underpins their professional practice. Competency-based training alone will not provide this understanding. It is static training, tied to the practices of today, providing little if anything in the way of insights or tools to meet future challenges. Professional education should be based on sound pedagogical principles that encourage students to analyse and synthesise information and stimulate critical thinking.¹¹

Just as there is no consensus about competence, competencies are also defined in many ways. Competencies are a means to achieve competence and describe knowledge, skills and behaviours or attributes for a specified occupation or profession. Some are linked to performance of pre-determined set tasks, which can be described as a positivist approach; others are values or culture-based, focusing on future thinking and adapting to change, also referred to as humanist competencies or capabilities.¹²

For example, ARMA International (2007) links competencies to performance.

Competencies are defined as the knowledge, skills, characteristics, or traits that contribute to an outstanding performance in a particular profession. They are described in a way that they can be observed, measured and rated.¹³

Innovation and Business Skills Australia (2007) follows a similar path.

The broad concept of competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace.¹⁴

The definition of competencies by the Special Libraries Association (2003) has more emphasis on knowledge than measured performance.

Professional competencies relate to the practitioner's knowledge of information resources, access, technology and management and the ability to use this knowledge as a basis to providing the highest quality information services.¹⁵

What can be learned from this brief discussion about the concept of competence and definitions of competencies is that

there is more than one approach and any debate about the competence and decisions to create a set of competencies has to establish the context in which it will be used. There is no single definition of competence or of competencies that is relevant to all contexts.¹⁶

The purpose, presentation and use of competencies can vary significantly, even though the language may reveal only subtle variations. Contexts in which they are used include:

- assessment for formal qualifications;
- individual accreditation for professional membership;
- outcomes of students to support formal course recognition;
- mapping of education and training initiatives to ensure relevance to the profession; and
- identity of a professional in a particular field.

Some are found in formal qualifications; others are more inspirational to inspire entry to a profession or to encourage continuing professional development.¹⁷ Table 1 contains examples of different statements or sets of competencies or capabilities in the records and information fields. The first column in this table quotes an example of a competency or capability, the second shows the organisation responsible and the third column explains the purpose of the competency.

These few examples show that competencies in their most general application describe a mixture of being able to do and demonstrate understanding of something and thus be capable of achieving something. The differences are more related to what they are used for than how they are expressed.

What is also common to the various approaches is the link to education, roles and responsibilities, and a domain-specific body of knowledge. Even *AS ISO 15489, Records Management* makes brief references to the roles and responsibilities for recordkeeping. Examples include:

- records management professionals having responsibilities for designing systems and training;
- executives supporting application of records management policies;
- systems administrators ensuring documentation is accurate and available; and
- employees being accountable for keeping records of activities.²⁶

RECORDKEEPING COMPETENCY STANDARDS

The third of the four concepts that have influenced the Statement of Knowledge is the set of recordkeeping competency standards that are developed by industry or sector-based skills councils and combined into groupings that are endorsed as qualifications by the Australian Government.²⁷ These vocational level qualifications are then delivered by registered training organisations, which are also accredited by the Australian Government.

The recordkeeping competency standards are part of the *Business Services Training Package* and are made up of 19 separate units of competency, defined as: Competency standards are made up of a number of units of competency

each of which describes a key function or role in a particular job, function or occupation. Each unit of competency within a Training Package is linked to one or more AQF qualifications.²⁸

There are four formal qualifications to which the recordkeeping competency standards relate:

- BSB30807 Certificate III in Recordkeeping
- BSB41707 Certificate IV in Recordkeeping
- BSB51707 Diploma in Recordkeeping
- BSB60807 Advanced Diploma in Recordkeeping.²⁹

Each qualification consists of a number of mandatory units that match the complexity needed for each level. For example, a unit for the Certificate III is not as complex as a unit for the Advanced Diploma. For each qualification, electives may also be selected from other training packages or from other units in the recordkeeping competency standards.

The competency standards give assessors and trainers as much advice as possible, to ensure that the delivery and assessment of performance of students against the competencies is as consistent as possible. This helps to achieve consistency across all training providers and to support national recognition of qualifications. However the standards do not prescribe how the training is delivered.³⁰

AUSTRALIAN QUALIFICATIONS FRAMEWORK (AQF)

This relationship between the different qualifications and the recordkeeping competency standards leads to the fourth concept being discussed, the Australian Qualifications Framework (AQF).



DESCRIPTION OF COMPETENCY	ORGANISATION	PURPOSE
'Determine records requirements to document a function.' ¹⁸	Innovation and Business Skills Australia	Assessed for formal qualification of Diploma or Advanced Diploma in Recordkeeping
'Apply theory and practice through ethical behaviour, promulgated in codes of practice or conduct.' ¹⁹	ASA/RMAA Joint Education Steering Committee	Describing capabilities of professionals
'Appreciate the value of records in different contexts as both information resources and evidence for legal accountability and historical purposes.' ²⁰	Society of Archivists (United Kingdom)	Criterion about what students would be capable of achieving once completing the course for which recognition is being sought
'Demonstrates expert knowledge of the content and format of information resources, including the ability to critically evaluate, select and filter them.' ²¹	Special Libraries Association (SLA)	Information about nature of profession for promotion and educational purposes
'Knowledge of and ability to enforce the archive's policies, procedures and standards of service.' ²²	National Archives of Australia	Competencies for reference archivists to support professional development programmes
'Information organisation, demonstrated by the ability to: enable information access and use through systematic and user-centred description, categorisation, storage, preservation and retrieval.' ²³	Australian Library and Information Association (ALIA)	Core knowledge statement to explain nature of profession
'Protect archival records by monitoring environmental controls and following established procedures to control access.' ²⁴	ARMA International	Records and information management core competencies
'Encourage the creation and sustainability of moving image, sound, photographic and digital archives.' ²⁵	Archives Task Force (UK)	Skills and knowledge needed in curriculum for archive administration

Table 1: Examples of competencies or capabilities and their context in the records and information discipline

» “THE ORIGIN OF THE STATEMENT OF KNOWLEDGE LIES IN THE INITIAL MOVEMENT TOWARDS COMMON COMPETENCY FRAMEWORKS FOR ARCHIVES AND RECORDS IN THE 1990S” »

The Australian Qualifications Framework (commonly known as the AQF) is a unified system of national qualifications in schools, vocational education and training (TAFEs and private providers) and the higher education sector (mainly universities).³¹

The 2007 set of recordkeeping competencies fit within four of the fifteen recognised qualifications in the AQF. The four recordkeeping qualifications mentioned above are categorised in the AQF as being part of the vocational education and training sector, whereas undergraduate or postgraduate degrees are part of the higher education sector. This means that the recordkeeping competency standards are not used to develop or assess undergraduate degrees or postgraduate degrees.

In summary, the four concepts that set the broader picture for the Statement of Knowledge are complex but integral to the training and education of the recordkeeping profession in Australia, and shape current and future directions. It is within this backdrop of complex structures and frameworks, that the recordkeeping profession sought alternative options to support training and education, and the identity of the profession.

ORIGIN AND DEVELOPMENT OF THE STATEMENT OF KNOWLEDGE

The origin of the Statement of Knowledge lies in the initial movement towards common competency frameworks for archives and records in the 1990s. The first set of competency standards for archives and records was released in 1997.³² It contained competencies that were relevant for qualifications at the undergraduate and postgraduate levels, as well as

the vocational level qualifications. For the first time there were common, practical tools for the archives and records professions. The particular significance of the Australian practice and the records continuum framework in the context of competency development was that it dissolved the wall between records management practices and archival practices.³³ Following a review in 2000, a new set of competency standards was released (in 2001), but without competencies at the undergraduate or postgraduate level. This left a gap in industry benchmarks to define skills and knowledge for the profession and for developing and recognising undergraduate and postgraduate degree qualifications.³⁴

The concerns of the profession about this gap for benchmarks for tertiary level qualifications, was one of several catalysts for the 2003 Archives and Records Education Stakeholders Forum (ARES).

The Forum was intended to focus on education within the broadest range of recordkeeping areas including archives, records and records management. Its intention was to focus on the need to sustain specialist education within those fields. The two associations were concerned to ensure that such education is sustained in the current climate of considerable change in the local educational landscape.³⁵

There was also concern that knowledge of theory was not covered thoroughly enough in the recordkeeping competency standards to be applicable to undergraduate and postgraduate qualifications.³⁶

Through ARES 2003, the ASA and the RMAA formed a new Joint Education Steering Committee to develop, among other objectives, the ‘Statement of Knowledge for Recordkeeping Professionals’.

As mentioned in the introductory paragraphs, the Statement of Knowledge sought to provide a foundation for articulating the knowledge that was unique to the recordkeeping profession and not likely to be the domain of any other profession.

By focusing on knowledge it could stand apart from the competency standards, which very comprehensively articulated the ‘how’ of recordkeeping, but bound within the structure of the AQF. The Statement sought not to be tied to the AQF or to particular environments or jurisdictions. The Statement also sought to be brief and adaptable for a range of purposes.

Part 2 of this article will appear in the next *iQ*. It will examine the structure and application of the Statement, and the rationale behind the review. See a full copy of the Statement of Knowledge at <<http://www.rmaa.com.au/docs/profdev/StatementKnowledge.cfm>> **iQ**



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RMAA Technology Survey 2008

From mainstream to bleeding edge-technology in the RIM workspace

Ready for the era of cloud computing? Records and information management is a technology-driven business. In 2008, the RMAA surveyed its Listserv readership to find out about the state of play with technology and the records programme in our technology rich organisations. This article reports results from the RMAA 2008 technology survey.

BY MARK BROGAN AND DAVID ROBERTS

Story Snapshot

- This report analyses the responses of 630 respondents to a 101 question technology survey implemented by the RMAA on its listserv.
- The survey covered every aspect of technology use by RIMs in Australia, New Zealand, and beyond.
- The detailed analysis was carried out for *iQ* by a pair of Edith Cowan University (WA) academics.

The American entrepreneur and businessman Donald Trump is reputed to have said that “As long as you’re going to think anyway, think big”.¹ The makers of the 2008 RMAA Technology Survey seem to have taken Trump’s saying to heart with a hefty survey weighing in at one hundred and one (101) questions. Few stones have been left unturned in the quest to understand enterprise records and information management in our public and private sector organisations. Consequently, the 2008 RMAA Technology Survey has delivered a mass of data.

In reporting the results of the analysis undertaken so far, the authors acknowledge the limitations of the current analysis in term of scope and depth. There is juice in the survey lemon still,

» “THE RMAA LISTSERV FUNCTIONS AS A GLOBAL COMMUNITY OF PRACTICE” «

and the authors hope that this analysis will prompt others to appreciate the data set and find their own ambition to explore new analysis directions. Thanks to RMAA CEO Kate Walker for allowing the authors first crack at this extensive and very useful data set!

POPULATION AND RESPONSE RATE

The population for the survey comprised subscribers to the RMAA Listserv and Forum, representing a survey population of 950 (N=950). The survey was carried out online, using the well known survey host SurveyMonkey.com.² The literature on survey methods reports that online surveys can pose problems in terms of response rates.³ However, the population in this case was highly responsive with 630 usable responses received representing a response rate of 66.3%. As measured by the response rate, the RMAA Listserv appears to have a high level of engagement from its readership.

That said, the response rate for survey items varied from question to question. The authors felt that the least ambiguous way to report user engagement with any particular question was simply to report the number of respondents (r). To obtain the response rate (not shown) for any item, the mathematically inclined should divide r by the number of usable responses (630) and transform the result into a percentage. Percentages reported here describe respondents who answered a survey item in a particular way i.e. this answer was given by X% of the respondents *who answered that question*.

DEMOGRAPHIC CHARACTERISTICS

The demography of the survey participants shows that the *reach* of RMAA via its online activities is both national and international. The typical survey respondent hailed from New South Wales (18.6%), Queensland (14.5%) or Victoria (14.2%) and was female (Q4). The gender imbalance in survey respondents was decisive, with two thirds of respondents (65.2%) recorded as female (Q4, r=594). The typical respondent was also under the age of 45 (53.6%), with the 36-45 year age group comprising the largest cohort (30.3%).

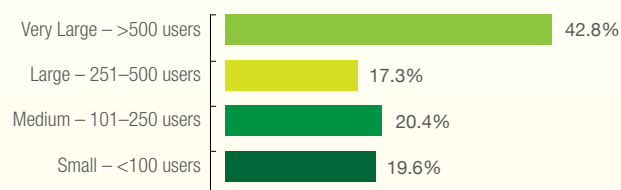
The biggest cohort of international respondents was regional, hailing from New Zealand (Q1, 16.7%). However, other international interest was evident from the United States of America (3.30%), South Africa (2.31%), The United Kingdom (1.98%), Papua New Guinea (1.32%), Canada (0.50%), United Arab Emirates (0.20%), Fiji (0.20%) and Trinidad and Tobago (0.20%).

Doing the maths on international participation, we can see that approximately 27% of respondents represent the global community of records management practitioners, effective testament to the fact that the RMAA Listserv functions as a global community of practice.

The majority of respondents (61.0%) are employed by Government. By industry, Local Government comprises the largest cohort (24.4%), followed by State Government (23.3%)

and Federal/Commonwealth Government (13.3%). Hence, by size, the respondent demographic is biased in favor of large government organisations with more than 500 RIM users (42.8%) (Q.3, r=608). Only 19.6% of respondents are employed in organisations of less than 100 RIM users (Figure 1).

Figure 1: What size is your organisation?



These biases in the data need to be kept in mind when interpreting findings from analysis. For example, metrics describing ECM/EDRMS (enterprise content management/electronic document and records management solution) penetration, IT infrastructure or programme resources are likely to involve values higher than would be expected in a more normalised distribution, in terms of size and sector.

When interpreting findings it is also important to realise that the survey was administered anonymously with IP numbers only attributed to particular responses. No record exists of the number of respondents attributable to any organisation. Thus, the temptation to consider the survey ‘representative’ should be avoided. Other sources of unreliability include participant knowledge and understanding.

The comprehensive and IT inclusive nature of the survey is a potential source of unreliability, with some questions assuming significant prior learning of IT concepts.

INFORMATION TECHNOLOGY ENVIRONMENT: THE DESKTOP

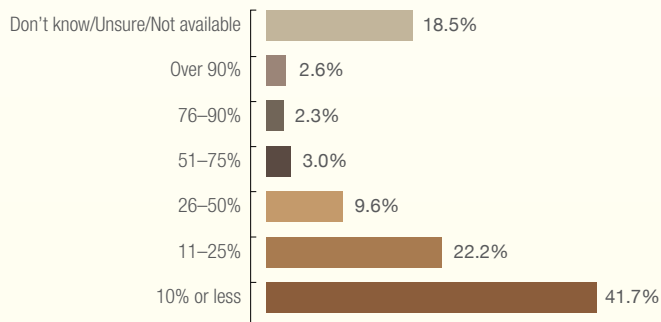
Open source fans will take no encouragement from descriptive stats on word processing showing that 83.8% (Q.7, r=449) of respondents work for organisations committed to the Microsoft stable (Word 2007, Word 2003 and Word XP). Microsoft was also dominant in the groupware/email market (Q.34, r=363) with Outlook reported by 74.7% of respondents followed by Lotus Notes (10.7%) and Groupwise (9.6%).

Similarly, open source fans will not be encouraged by the fact that less than one in five (18.9%) respondents (Q.67, r=285) reported the use of open source software in their organisation. But not all is rosy for major vendors either. Only 2.2% of users (Q.69, r=324) reported Vista as their primary operating system with a further 82.7% of respondents nailing their colors to the aging masthead of Windows XP. Portable Document Format (PDF) (63.9%) and native formats (63.4%) are the most widely used ‘retention’ formats (Q.8, r=444) with the use of Acrobat PDF/A reported by 7.9% of respondents to this question.

In 2008, Dell was dominant on the desktop with 40.2% of ...

respondents (Q70, $r=323$) followed by HP/Compaq (31.9%) and IBM (9.6%). Thirty nine percent of respondents indicated that a three year rollover applied to the desktop in the host organisation. As Figure 2 shows, laptop penetration is not as high as might have been expected (Q.76, $r=302$). The notion of a Standard Operating Environment (SOE) was reported as a procurement driver by 56.5% of respondents (Q79, $r=301$).

Figure 2: What percentage of personnel use laptops in place of PCs?

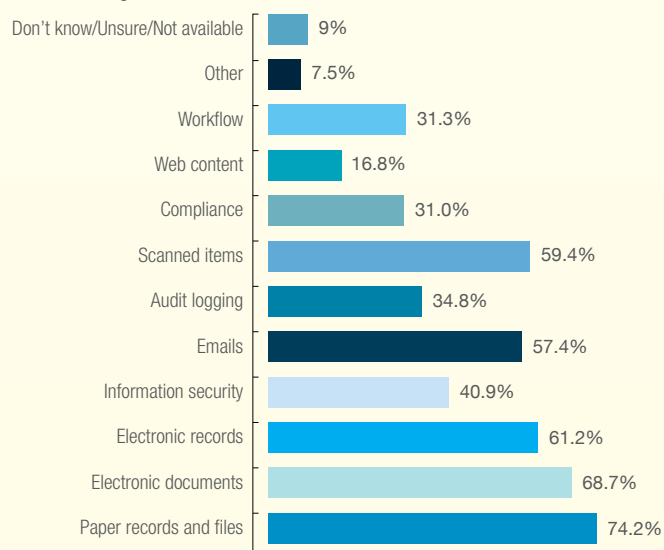


EDRMS/ECM INSTALLED BASE

Reflecting the large organisational bias of the response, only 13.2%, (Q.13, $r=425$) of respondents reported no EDRMS installed in the host organisation or the use of manual controls. Towersoft's TRIM (Q.13, 32.7%) is the EDRMS most cited by respondents, with both Objective (6.1 %) and RecFind (7.1%) completing the top three.

The scope of functionality delivered by these systems (Q.14, $r=406$) includes document management (71.9%), records management (71.4%), physical records management (60.8%), electronic records management (67.0%), workflow (43.1%), Web content management (19.7%), enterprise content management (15.8%) and knowledge management (15.5%). The relatively modest attribution of product against Web content and knowledge management suggests older software versions that do not support these functions.

Figure 3: What does your organisation's information management/ECM solution manage?



The distinction between EDRMS and ECM capabilities was weak in the data, suggesting confusion arising from growing convergence. For example, while 74.6% (Q.31, $r=338$) of respondents identified management of Web content as an ECM function, 35.2% of respondents also attributed to ECM 'indexing and retrieval of paper records'.

Should we be concerned? In a paper presented at the Australian Conference on Information Systems in 2007, Nguyen, Swatman and Fraunholz (2007) suggest that confusion in the product market place makes it tougher for organisations to pick the best solution for their enterprise needs.⁴ However, competition in the enterprise marketplace and technological change do not suggest simplification of the marketplace any time soon.

As Figure 3 shows (Q28, $r=345$), utilisation of enterprise information and content management solutions for electronic records (61.2%) and document management (68.7%) are similar to paper records and files (74.2%).

Although most of these products do not offer intelligent systems solutions to the problem of email management, more than half of respondents work in organisations that are using them to manage email (57.4%). Only 16.8% of respondents were using ECM tools to manage Web content, suggesting that in terms of this application, product capabilities maybe oversold or do not scale appropriately in enterprise terms.

BARRIERS AND DRIVERS TO RECORDS AND INFORMATION MANAGEMENT (RIM) ADOPTION

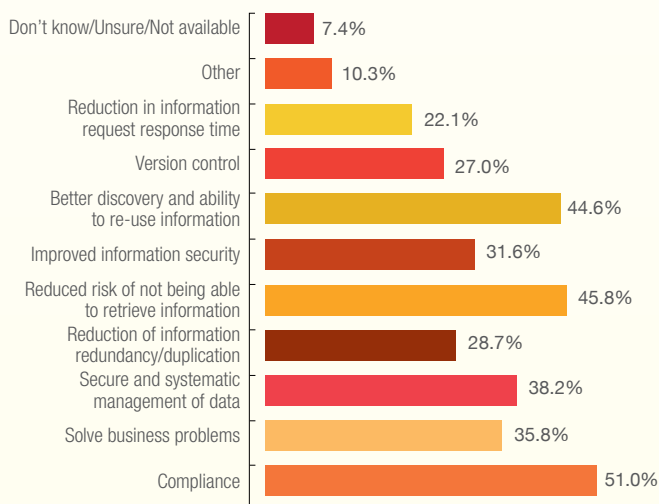
As we have noted, not every organisation represented in the survey is equipped with an EDRMS or ECM system. Lack of managerial support (19.5%) (Q16) remains the most important reason for non-adoption, followed by uncertainty about user requirements (11.5%).

Among non-adopters, some cause for optimism exists with 23.9% of current non-adopters classifying themselves as in product pending mode. If a lack of managerial support remains the most substantial barrier to adoption, the majority of respondents (48.8%) nonetheless consider themselves to have 'influence/involvement' in the procurement of technologies (Q21 $r=424$).

Since the aggregate response is biased towards government and larger organisations, it comes as no surprise to find that compliance (Q.23, $r=408$) rates as an explanation for the adoption of RIM technology in 51.0% of respondents (Figure 4). Reasons for adoption also included information retrieval (45.8%),

» "THE DISTINCTION BETWEEN EDRMS AND ECM CAPABILITIES WAS WEAK IN THE DATA, SUGGESTING CONFUSION FROM GROWING CONVERGENCE" «

Figure 4: What was the most important decision making factor in implementing RIM technology?



security (31.6%), email and document management (38.2%), reduction in redundancy and duplication (28.7%), information discovery and re-use (44.6%), version control (27.0%).

BENEFITS OF EDRMS/ECM

This discussion of reasons for adoption suggests many of the sources of business value identified by respondents. With a survey population of RIMs, it could be reasonably expected that sources of business value associated with EDRMS/ECM implementation would go largely uncontested.

This proved to be the case with only 5.6% of respondents (Q26, $r=338$) ascribing none. Information retrieval benefits were the standout winner (48.5%), with strong showings from compliance (37.3%), business process efficiency (32.8%), knowledge capture and re-use (43.2%), improved customer service (31.4%) and legal discovery (24.0%) also rating highly.

Realisation of business benefits is no cake walk, with 66.8% of respondents (Q27 $r=343$) identifying re-engineering of work practices as a barrier. Siloing (45.5%), systems integration (37.0%), politics (41.4%) and demonstrating Return on Investment (ROI) (26.5%) were also rated significant hurdles.

» “CLEARLY, RECORDS MANAGEMENT IS WIDELY SEEN AS A SHARED RESPONSIBILITY, WITH IT A KEY PARTNER IN MOST CASES, AND WITH BUSINESS UNITS IN MANY CASES AS WELL” »

The effect on staffing structures (Q.24 $r=396$) of all this activity in RIM was to result in a perception of increased requirements for staff amongst 25.3% of respondents, with 44.4% perceiving no implications for staffing structures. Only 2.8% of respondents attributed a reduction in staffing structures. The data suggests that business cases emphasising cost savings arising from reduced staff requirements are not supported by experience in the field.

GOVERNANCE ISSUES

Who is responsible, in a corporate sense, for records management and for related functions and services in survey organisations?⁵ The survey provided an opportunity to explore this by asking who is responsible for records management functions (Q32, $r=356$) and enterprise content management (ECM) functions (Q33, $r=337$).

For RM functions, the most common combination was “Both records management and information technology departments” (36.8%), followed closely by the combination “Business Units, Records Managers, Information Managers and IT department” (36.0%).

Clearly, records management is widely seen as a shared responsibility, with IT a key partner in most cases, and with business units in many cases as well. Tellingly, “Records / Document / Information Managers only” were reported as responsible for records management functions by only 15.4% of respondents.

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» “59.3% OF RESPONDENTS REPORTED THAT THEIR ORGANISATION HAD A DISASTER RECOVERY/BUSINESS CONTINUITY PLAN, WITH A FURTHER 31.3% DEVELOPING ONE” «

For ECM, the results were not dissimilar, suggesting similar conclusions. The same two combinations came out on top, with “Business Units, Records Managers, Information Managers and IT department” (29.7%) this time ahead of “Both records management and information technology departments” (25.2%). A much larger proportion of respondents, however, were unsure (11.9%, compared with 2.2% for records management), suggesting that ECM, while a well known concept, has a way to go as a clear corporate responsibility.

The website management and online content component of many people’s perception of ECM can be seen in the number of open responses to this question mentioning communications and Web management staff.

Only one question in the survey addressed planning, specifically business continuity planning (Q94, $r=307$). The importance of business continuity planning in today’s uncertain world is reflected in 59.3% of respondents reporting that their organisation had a disaster recovery/business continuity plan, with a further 31.3% developing one.

Business continuity planning has long been a responsibility of records managers⁵, so respondents’ level of awareness (only 5.9% answered “Don’t Know/Unsure/NA”) is not surprising. By contrast 40.4% were unsure if their organisation had a redundant or backup Internet connection (Q95, $r=280$), which is an essential component of disaster preparedness for many organisations, but normally an IT responsibility.

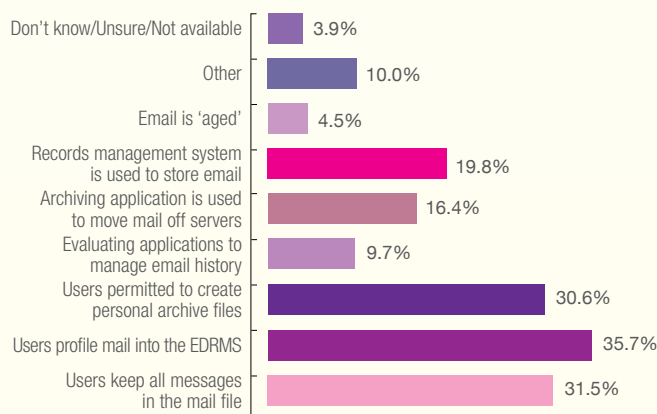
MESSAGING – THE GOOD NEWS AND THE BAD

Earlier, we noted Outlook’s dominance of corporate email systems. Two further aspects of messaging addressed by the survey are worth exploring: how email and other messages are managed, and the extent to which messaging systems beyond traditional corporate email are being used.

The common IT response to email management used to be to delete emails from inboxes after a certain time. Most respondents reported (Q38, $r=358$) that this is not the practice in their organisations (69%). But users are expected to control mailbox size, with 63.6% of respondents (Q.36, $r=360$) reporting the practice of mailbox caps and a further 49.2% (Q.39, $r=360$) reporting a cap on both incoming and outgoing mail. As any Listserv regular knows, mailbox capping is a vexed issue in terms of records management and compliance.

The survey (Q42, $r=359$) asked which of a range of scenarios best described the host organisation’s current practice in email management (Figure 5). No single approach could be said to dominate. Capture/profiling by users into an ERDMS was the most commonly reported (35.7%), but with the non-management options of users keeping messages in their mail file (31.5%) and being permitted to create personal archive files (30.6%) coming close behind.

Figure 5: Which scenario best describes your current practice with regard to email management?



The emergence of email archiving methods and systems as a new management method was seen in the data with 16.4% (Q.42, $r=359$) of respondents working in organisations that use an ‘archiving application to move mail off servers’ and 23.8% of respondents (Q.43, $r=348$) working in organisations with dedicated email archiving systems (such as Zantaz, Symantec Enterprise Vault, EMC Email Extender, GFI Archiver, Quest Archive Manager).

A possible pointer to the future significance of these systems could be found in the percentage of respondents (Q.43, $r=359$) currently evaluating applications to manage their email history (9.7%). While the majority, i.e. (57.5%) of respondents, currently do not work in organisations in which dedicated email archiving is deployed, the relatively high “Don’t Know/Unsure/NA” response (18.7%) suggests that, in these organisations, email archiving may be IT-driven rather than RM-driven.

As Figure 5 shows, 35.7% of respondents work for organisations in which users profile mail into the corporate EDRMS. An important question for records and information managers in 2009, concerns the future role of the EDRMS as a repository for record email. As risk management and compliance drive organisational adoption of active email archiving⁷, should the locus of email management move to these systems?

RMAA Listserv postings suggest that RIMers are reluctant to embrace business solutions for email management outside the context of EDRMS. Professional consensus within the records and information community may prove elusive. It is important to note that the push for alternative platforms to EDRMS for the management of email is not restricted to the IT community, but includes well respected elements of the RIM community.

As early as 2005, Iron Mountain Executive Vice President, Brian Murphy, expressed reservations about the wisdom of applying EDRMS solutions to the problem of email archiving.⁸



More recently, Gartner reports that active email archiving is evolving to include features seen in records management solutions.⁹

By focusing on EDRMS as the solution of best fit to the problem of email management, are RIMers ruling themselves out of organisational dialogue about email management and missing an important growth opportunity for their programmes?

One thing we can say about email management with assurance is that print-and-file is all but dead. While not offered as an option in Q42, only 5 respondents (1.4%) reported it in the open response option.

The options available in Q42 were not mutually exclusive. Respondents could pick more than one, and many (40.1%) did. It is not surprising that “Currently evaluating applications to manage their email history” was almost invariably combined with one or more other options. In addition, though, different types of corporate solutions frequently co-existed with each other and/or with users continuing to retain email themselves. Open responses like “We are slowly moving people across to EDM for email management” indicated work in progress, while “No management” reeks of despair.

Overall, we may speculate that the lack of a dominant approach to email management reflects that fact that all the available options have significant unresolved issues. User capture/profiling requires culture change and places a burden on users.¹⁰ Email archiving keeps much email that the organisation does not need and some that it may not wish to keep.¹¹ Letting users do their own thing is risk-laden and ineffective.

» “INFORMATION SECURITY FOR CORPORATE INFORMATION ON HOME NETWORKS IS CERTAINLY ONE TO WATCH” »

OTHER MESSAGING TECHNOLOGIES

If we are still struggling with messages in corporate email systems, what impact do we face from other messaging technologies? The survey makes a start on answering this question.

Instant messaging tends to be seen as suitable for personal, but not business communications, with many employers regarding it as a threat to productivity.¹² This is borne out in the number of respondents whose organisations do not permit the use of instant messaging programs and enforce the policy (36.5%) (Q55, $r=337$).

A significant number (17.8%), though, have such a policy, but users do it anyway. A follow-up question about enterprise/internal instant messaging programs (Q56, $r=332$) showed 17.2% of respondents’ organisations using these programs.

We cannot know how much these are instances of employers allowing reasonable personal use of their facilities, or how many organisations are encouraging instant messaging for business use, as many are with blogs and wikis.

Web-based email services such as Yahoo and MSN are also often viewed with suspicion by employers.¹³ A significant number of respondents (35.6%) reported that their organisations blocked access to such services (Q57, $r=340$), but 56.5% reported that they did not.

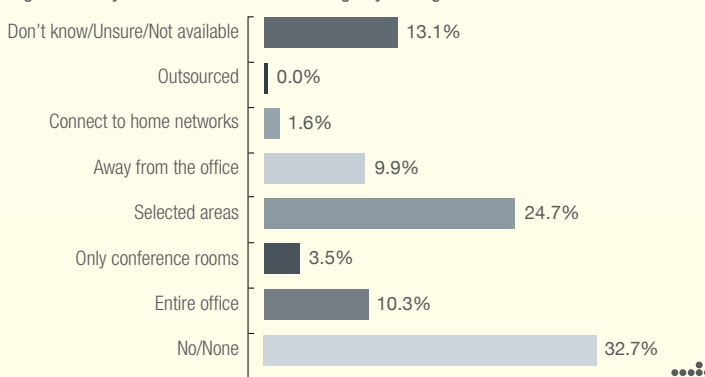
Again, we do not know if these results reflect indifference on the part of employers, reasonable personal use policies, or a business decision. But with Google claiming that a million businesses worldwide run on Google Apps¹⁴, the records management implications of a growing business role for Web-based email and other forms of cloud computing would be worth exploring.

NEW TECHNOLOGY

Wireless technology (Q77, $r=312$), with its lower infrastructure costs, is increasingly attractive to many organisations (Figure 6). A respectable 10.3% of respondents reported its availability in their entire office and 24.7% in selected areas. With notebook computer sales exceeding desktop sales in the overall US market for the first in the third quarter of 2008¹⁵, we can expect organisations to continue to expand their use of wireless technology.

A further trend concerns the use of home networks (1.6% of respondents in this survey). Since users are often unaware of the need to secure home networks and many work with ‘out of the box’ modem/router settings, information security for corporate information on home networks is certainly one to watch.

Figure 6: Do you offer wireless networking in your organisation?



» "REALITY IS CATCHING UP WITH RHETORIC IN THE EXTENT OF SHARED RESPONSIBILITY FOR RECORDS AND INFORMATION MANAGEMENT AND THE REDUCTION OF SILOS, PARTICULARLY BETWEEN RIM AND IT AREAS" «

PERSONAL DIGITAL ASSISTANTS

Seven survey questions addressed personal digital assistants (PDAs). These days this type of device includes, and is dominated by, smart phones. Fifty-one percent of respondents (Q80, $r=295$) reported the use of Blackberry handhelds.

However, the survey also revealed that penetration remains limited, with 48.7% of respondents (Q85, $r=275$) reporting 10% or less of their organisation using PDAs, and only 4% reporting that more than half of the organisation uses them (Q85, $r=275$). With their traditional strength in mobile email for business users, it is not surprisingly that Blackberry handhelds dominated, compared with Palm (22.4%) and Pocket PC/Windows Mobile (17.3%) (Q80, $r=295$).

Integration of PDAs with the organisation's document and records management systems (Q86, $r=271$) appears to be limited. Only 8.1% of respondents reported that their PDAs do integrate, while 59.4% reported that they do not. It is hard to know if this is a cause for concern. Most PDAs in organisational settings are synchronised regularly with the user's computer and/or email server, which will often in turn integrate with an EDRMS. So, a lack of direct integration of PDAs may not mean much for records management.

Corporate portals that provide users with a browser-based environment for collaboration, content searching and document management represent another new technology whose use is expanding. It is not surprising that the most reported portal product was Microsoft's SharePoint (30.4%). Its market share is undoubtedly more than this, as the question (Q92, $r=286$) also included options for none (21.7%) and "Don't Know/Unsure/NA" (27.3%).

CONCLUSION

A significant proportion of the survey sketched out the IT landscape in which RIMers' organisations operate and the armoury of technological tools we use to manage records and information within that landscape. The results confirm what we would all likely be aware of from the professional and broader literature and media and from what we see in our working lives.

This is probably a relief, since startlingly different results would be questionable or would suggest that we are all out of touch. It is important to remember that the survey is not a longitudinal study and cannot provide direct evidence of trends. Certainly, though, it highlights a number of emerging workplace realities, whether from the technological, human or organisational perspective.

Deployment of EDRMS/ECM is continuing apace, with a high installed base and many organisations in the procurement phase. At the same time, the nature of these types of products is changing, with distinctions blurring and much common functionality. This convergence seems to suggest a future dominated by a broad family of information management and delivery products differentiated by emphasis rather than core functions.

While the focus of the survey was on IT, the feminisation of the profession is worth noting. The comparative youthfulness of the workforce compared with other information professions, is also noteworthy. Organisationally, the survey seems to confirm that reality is catching up with rhetoric in the extent of shared responsibility for records and information management and the reduction of silos, particularly between RIM and IT areas.

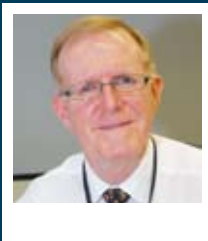
The survey also highlights some of the challenges that we

About the Authors



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for improving records and information management in all technological environments across the NSW public sector. In 2009, he was appointed Adjunct Senior Lecturer, Archives and Recordkeeping Studies, at Edith Cowan University, Perth, WA.

face as RIM practitioners. These challenges are not necessarily the result of technology per se. The questions “How do we ensure the capture of records into corporate recordkeeping systems without burdening users?” and “How do we integrate quick and easy access to records with the other tools that users need to do their jobs?” are perennials, albeit sharpened by changing technological environments.

We have noted how the survey highlights a lack of satisfactory solutions to email management and the need for intelligent systems. At the same time, we see the first hints of changes in the nature of business messaging that will bring fresh challenges to this area.

The looming revolution of cloud computing did not figure in the survey. Cloud computing will likely bring about further loosening of organisational physical control over data, documents and records, a process begun by IT outsourcing. No doubt cloud

computing will figure in future iterations of the survey.

A serious issue raised by the survey relates to our perception by decision-makers at a time of global economic crisis. How sustainable is it to argue for further investment in RIM technology, while insisting that the investment will bring no savings in RIM staffing costs (Q24)¹⁶ — or will result in higher costs — and where the benefits to be realised from the investment are notoriously difficult to quantify in terms of the bottom line?

It has always been a challenge to justify RIM resourcing, but the problem will probably worsen in 2009. Perhaps some relief can be seen in the recognition of compliance as a major driver of RIM solution adoption (Q23). With the FBI now working through the Bear Stearns email archive¹⁷ and archives of other firms connected with the Wall Street collapse, compliance seems certain to rate as a demand side enabler for the foreseeable future. **iQ**



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10. A project run in 2008 as a coursework masters project at Edith Cowan University looked at user acceptance of middleware (EDRMS) type solutions to the problem of managing record email. In the quantitative case study (based on a government agency), a gap was observed between the incidence of compliant behaviour and compliance goals. As measured using a Likert scale, users were unhappy with cost burdens associated with saving email to the corporate store using the current EDRMS middleware solution. See Brogan, M. and Vreugdenburg, S. (2008). You've got mail: Accountability and End User Attitudes to Email Management. *Proceedings of the Fourth International Conference on E-Government (ICEG)*, 23-24 October, 2008. Melbourne: RMIT University.
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12. For a discussion of risks for businesses, see Flynn, N. (2004). *Instant messaging rules: a business guide to managing policies, security, and legal issues for safe IM communication*, AMACOM, pp. 12-14
13. Web-based email services bypass corporate email and network gateway systems. Consequently they can be a significant source of introduction of viruses, spyware, keystroke loggers and other malware; they can enable unmonitored leakage of sensitive or proprietary corporate information; and employees can use them to introduce image, MP3 and video files that contravene copyright or acceptable use policies into corporate networks.
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16. For a discussion of the survey stats, please see the earlier section entitled "The benefits of EDRMS/ECM"
17. Rodier, M. (2008). E-Discovery Leads to Arrest of Bear Stearns Hedge Funds Managers. Retrieved 7 October 2008 from http://www.wallstreetandtech.com/blog/archives/2008/06/ediscovery_lead.html

Government Access Cards:

A key to fraud and identity theft reduction?

PART 3

Are government access cards worthwhile? Can they save money and reduce identity theft? The first articles in this series looked at the historical situation in Australia and elsewhere and considered future possibilities. In this concluding article, the author makes his conclusions and provides a detailed bibliography for the series.

BY ROBERT BROMWICH

The purpose of this paper has been twofold in providing an overview of identity card systems in Australia, the United States, and the United Kingdom; and an introduction on the interplay of identity theft with fraud generally and the specific programmes.

David Shenk's 1997 book *Data Smog* outlined 13 Laws of Data Smog as they applied to technology developments, particularly of an online nature. The following list has been adapted from that as it applies to identity programmes:

- 1 Personal information, once rare and cherished like diamonds, is now plentiful and taken for granted like sand;
- 2 Silicon chips evolve and adapt much more quickly than public service guidelines;
- 3 Computers are neither human or *humane*;
- 4 Putting an ID card in every wallet is like putting a tracking device on every person;
- 5 What politicians sell as information security but information anxiety;
- 6 Too many experts spoil the clarity;
- 7 All high-stim roads lead to a public servant's office;
- 8 Birds of a feather flock virtually together;
- 9 The electronic Town Hall allows for speedy communication and a wealth of falsehoods;
- 10 The Prime Minister's (or President's) office is watching;
- 11 Beware stories that dissolve all complexity;
- 12 On the identity information superhighway, most roads pass through public servants' offices;
- 13 Cyberspace breeds scared politicians and nervous bureaucrats.

The development of online technologies over the past decade has facilitated enhanced opportunities for thieves and fraudsters – whether

operating alone or in groups – to appropriate innocent people's identities with comparative anonymity and uses them for criminal benefit quicker than in previous times.

Perversely, the consequences are also harder to detect and more challenging to correct – even with the person being highly proactive on identity management issues.

Linking an individual citizen's identity through a single identifier can facilitate what can be termed a "honey-pot tree" scenario where previously separate identifiers (TFN/SSN, Medicare number, drivers licence information, Social Security number) are linked to the "master" number, allowing much quicker access to a citizen's identity and the misuse of personal information and making recovery from identity theft more difficult.

From a strictly technical and technological perspective, the programmes outlined in the preceding pages – if properly resourced – may be feasible.

The challenges come from the following perspectives:

- **Policy and regulatory** – oversight, accountability, ensuring only authorised access to information;
- **Accuracy** – creation of false entries, deletion or unauthorised changes of "correct" entries;
- **Personnel** – ensuring those with access do not abuse system or not open to blackmail;
- **Privacy** – allowing persons to access only authorised information;
- **Cost** – all three programmes have had major upward cost revisions as the proposed scale of implementation becomes apparent.

Another aspect that supporters overlook or ignore is that, in effect, the programmes would serve as a backbone to identity management of citizens.

Examples of this include:

- Access to US federal buildings would only be available to those carrying a REAL-ID compliant documentation;
- Persons wishing to access Australian social services would, in effect, require the HASSAC as part of the identification process;



- No replacement for the 17 concession cards that form a key element of Australia's 100-point identity check framework;
- Persons wishing to renew their UK passport or wishing to work in a "sensitive role" would be required to obtain a UK Identity Card.

IS IT WORTHWHILE?

From a broader societal perspective, the core question of this paper – is it worthwhile – is paradoxically complex and simple. Simple in the context of allowing Big Brother to peep into every aspect of the lives of the citizenry. Complex in the context by hinting at the benefits the alluring technological solutions that the programmes permit.

On balance, the proposed systems outlined in this paper do not meet the stated programme objectives on technological and outcome perspectives, particularly for the following:

- The programmes reverse the onus of the core relationship between the democratic society, particularly its public institutions, and its citizens from one where the public institutions are accountable to the citizenry to one where the citizenry is held hostage by the public institutions.
- The technological framework underpinning the programme establishment and implementation are flawed, relying on information that can be manipulated or fraudulently obtained.
- Overstating the promise of the solutions – reduced identity theft, fraud against government payments – against the cost of implementing and maintaining such programmes.
- Providing a "honey tree pot" for identity thieves to access details of innocent people or to generate false identities through one identifier. **iQ**

» "PUTTING AN ID CARD IN EVERY WALLET IS LIKE PUTTING A TRACKING DEVICE ON EVERY PERSON" «

About the Author

ROBERT BROMWICH is a graduate student undertaking studies at Central Queensland and Curtin Universities specialising in Human Resource Management (CQU) and Information Management (Curtin) after taking a Bachelor's degree in Business Administration at Central Queensland University in 2006. Robert is keen to undertake doctoral studies of the interplay between governmental information management and its impact on citizen's involvement and participation in democratic life

Professionally, Robert plans to develop a career in the Human Resource and Information Studies fields, particularly the influence of current information practices (corporate and regulatory) on the organisation and how they can adapt to global, national and regional changes.

Robert is a member of the RMAA and the Institute of Management.



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Advocacy Groups

- Australian Privacy Foundation <http://www.privacy.org.au/>
- Electronic Privacy Information Centre (USA) <http://www.epic.org/>
- Identity Theft Resource Centre <http://www.idtheftcenter.org/>
- Privacy (resource centre) <http://www.privacy.org/>
- Privacy International <http://www.privacyinternational.org/>
- Transparency International <http://www.transparency.org/>

Governmental – Australia

- Department of Human Services URL: <http://www.humanservices.gov.au/>
- Office of Access Card URL: <http://www.accesscard.gov.au/>

Governmental – United States

- Department of Homeland Security URL: <http://www.dhs.gov/index.shtm>
- Department of Transportation URL: <http://www.dot.gov/>

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Previewing

26th RMAA International Convention



STRIVING 4 BALANCE IN ADELAIDE

20-23 SEPTEMBER 2009
ADELAIDE, SOUTH AUSTRALIA

R·M A·A
Records Management
Association of Australasia



You're Invited

It is my great pleasure to invite records and information management professionals in all disciplines and at all levels of professional development to help us celebrate our 40th Anniversary during the 26th RMAA International Convention 2009 in Adelaide, South Australia this September.

Our theme for this year is "Striving 4 Balance", as we address the challenges and issues involved in achieving a balance between complying with legislation, satisfying business drivers, and understanding and utilising new technology, while still providing the records management fundamentals to our organisations.

FORMAT IMPROVEMENTS

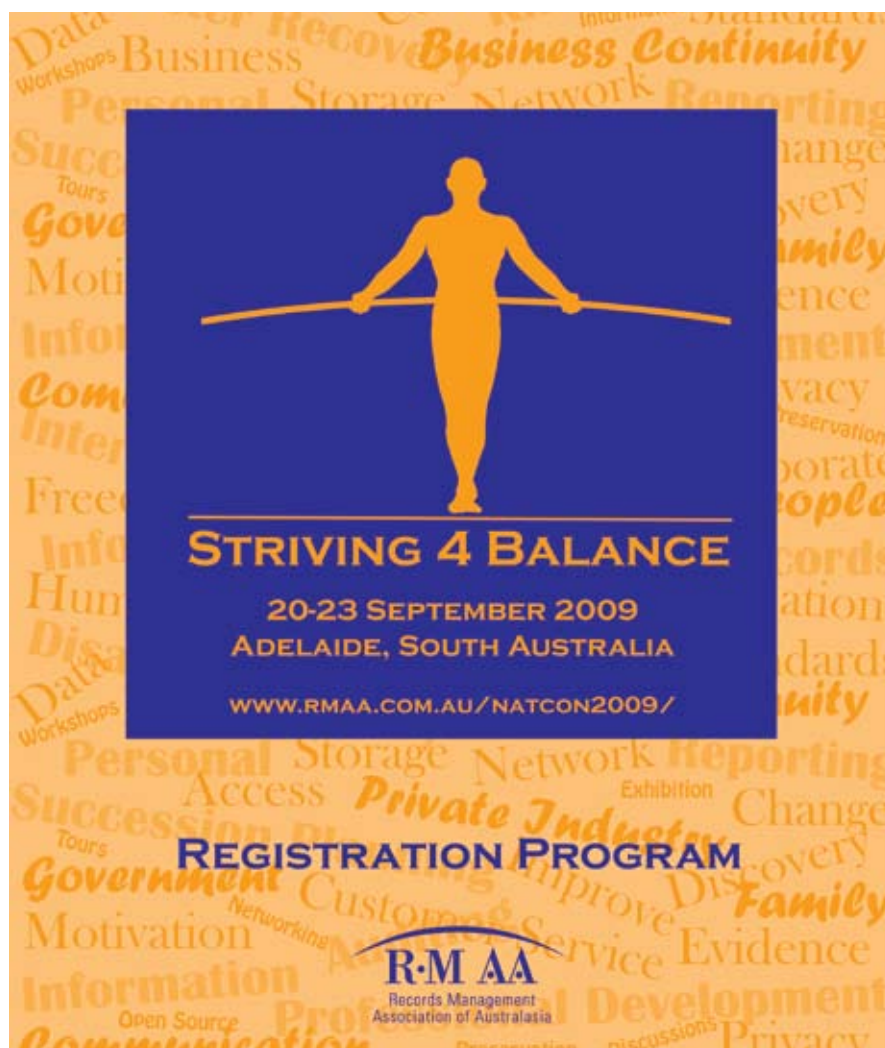
In response to member and attendee surveys conducted after previous International Conventions, we have made a few small changes that we believe will provide attendees with more value and a heightened convention experience.

The programme that has been planned for you this year is dynamic and exciting. It includes presentations in two streams – "New Thinking" and "Harnessing Technology". In addition to these streams, there will be vendor case studies, panel and round table discussions, workshops, site visits, special interest group meetings, a large trade exhibition, and, as always, many great opportunities for networking.

We have expanded the programme to ensure that attendees, regardless of experience or professional standing, will find something to meet their development level and interests.

As you visit the RMAA website at www.rmaa.com.au you will find that we have also changed something else. The usual gala dinner on the Monday night is now an Awards Dinner.

This will still be a themed, gala dinner but with a difference. The winners of our prestigious RMAA awards have climbed to the pinnacle of records management success in Australasia, and we think that they deserve better attention than a mere 10 minutes of fame on the first day of the Convention. It was felt that in keeping with other professional bodies, our nominees and winners deserved a night to celebrate and savour their accomplishments.



On the subject of our awards, do you know somebody or group that should be nominated for this year's J Eddis Linton Awards for Excellence, or the Jim Shepherd Industry Award? There is still plenty of time to nominate an individual or an organisation for these awards – see page 57 of this issue of *iQ* for details.

Of course, all RMAA members who have work published in *iQ* or in *IRMA*, the RMAA's online *Information and Records*

Management Annual, are automatically eligible to win the 2009 Objective RMAA Article of the Year Award, which will also be announced and presented at this gala dinner.

I look forward to meeting you in Adelaide.

David Pryde, MRMA
Chair
Records Management Association
of Australasia

7 BALANCED REASONS to attend the 26th RMAA International Convention



If you need a reason, or an excuse, to join us in Adelaide in September, we can give you plenty.

It will soon be that time of year again! This September, RMAA's annual showcase event, a time for members of the industry to meet, learn, share experiences, and exploit fabulous networking opportunities with delegates, speakers and vendors from around Australia and New Zealand and overseas will be staged in Adelaide.

I may be accused of being biased – Adelaide is my home town – but I am convinced that Adelaide and the 2009 Convention Organising Committee will between them stage the best International Convention that the RMAA has ever seen.

The theme "Striving 4 Balance" will address and discuss the challenges and issues in meeting the balance between individuals, business and government needs in relation to records, information

and data management and related business requirements.

We have planned a dynamic and exciting programme which includes presentations in two streams – "New Thinking" and "Harnessing Technology" as well as much more. The Newbies session which proved so successful in 2008 is being held again, and you will notice some changes in the way we do things, as well.

The workshops are tailored to meet varying development levels and interests including "Newbies" for those at base level or still finding their way, "Strategic" suitable for most delegates at Supervisor/Manager level, and "Not for the faint-hearted" for those who want to get their teeth into something more complex.

If that's not enough, the Convention is

being hosted in beautiful Adelaide, home of Coopers Brewery, Haighs Chocolates, the Central Market and local icons Bung Fritz, Pie Floaters and the Balfours Frog Cake.

But it isn't just about food, there are also lovely country towns like Hahndorf in the Adelaide Hills, not to mention sport, beaches, restaurants, shopping and a few local world famous wine regions such as McLaren Vale, Clare Valley, Barossa Valley and the Limestone Coast.

Come and join us. If you only attend one industry event this year, make sure that it's the biggest and the best – your RMAA International Convention.

Kristen Keley, MRMA



HUGE PROGRAMME

Keynote speakers, concurrent streams, workshops, site visits, round table and panel discussions, vendor case studies – it will be a balancing act just to make the most of the convention.

The concurrent presentations are being run under two streams: "New thinking", which offers different approaches and methods to common topics, while "Harnessing Technology" focuses on technology topics, issues and solutions.

The programme features speakers from South Africa, Sweden, Samoa, New Zealand and Australia, including a follow-up presentation by Ngwanaphalama (Margaret) More who first spoke at the 2007 Wellington Convention about her 65 million rand implementation project at the University of South Africa.



WORKSHOPS

A range of workshops is being offered as part of the Convention, ranging from 2 hours to full day. Each workshop comes with a certificate of attendance, and is provided by qualified trainers.

Workshops are aimed at specific skill levels including "Newbies", "Not for the faint-hearted" (experienced), and "Strategic" (suitable for most).

Topics include:

- Business archives and records workshop – (Helen McLaughlin, Maggie Shapley, Melinda Barrie).
- Finding the way: It's not geography – IBIS (Trish Wichmann).
- Fun-day-mental records management – IBIS (Trish Wichmann).
- Getting a grip on record metadata – Recordkeeping Innovation.

- Getting engaged with recordkeeping metadata concepts and models – Left Field Solutions (Trish O'Kane).
- Is it safe to open? – Powdersafe (Tim Roberts).
- Set up a records system for a small office (BSBRKG403B) – Relevancy (Chris Fripp).
- The business of writing – Verne Oldman & Associates.
- The risky business of managing an EDRMS project – Opticon (Kim James).
- Understanding and meeting the needs of Muggles – National Archives of Australia (Kerry Moir).
- Understanding change management – Relevancy (Chris Fripp).
- Writing records management policy – Recordkeeping Innovation.

Beware: Get your booking in fast, as most workshops are strictly limited to a maximum of 20 participants!



ARTLAB TOUR

Nestled behind the South Australian Museum and the Art Gallery of South Australia is Artlab, where you can see world-renowned heritage experts restoring everything from Egyptian papyri to Victorian architecture.

Arguably the largest conservation facility in the Southern Hemisphere, Artlab delivers conservation services for South Australia's major collecting institutions including the South Australian Museum, the Art Gallery of South Australia, the History Trust of South Australia, Carrick Hill and the State Library of South Australia.

Artlab provides conservation services for a wide range of other clients including families, businesses, schools, religious and sporting groups, museums, libraries, galleries, archives and local government.

The walking tour takes in Artlab's four laboratories – textiles, paintings, objects and paper – providing the opportunity to view items currently being treated, examined or condition checked, from all over Australia.

This is an interesting and informative tour of a leading preservation facility. Four x 100-minute tours will be run, and any delegate interested in seeing how a restoration & preservation facility works behind the scenes should definitely include this in their programme.



TRADE EXHIBITION

The trade exhibition always forms a large and important part of the Convention, and this year will be no exception, with 56 trade and display stands incorporating leading vendors in records and information management.

Areas covered will include software, archival products, filing products/equipment, storage providers, consultancies, training providers and many more, all in one convenient location for you to peruse, query and investigate at your leisure. This is a unique 'one stop shop' opportunity that always makes the Convention particularly worth attending.



NETWORKING

In addition to the regular networking opportunities provided by social functions and the trade exhibition, we have also introduced more structured networking in two ways:

Newbies Session

If you are new to the RMAA, or this is your first RMAA Convention, then this session is for you. Learn what to expect, how things work, how to get the most out of your membership and/or registration, and insider details that will make your experience less daunting.

Best of all, meet seasoned RMAA members and delegates (Oldies) who are willing to share their wealth of knowledge and experiences with you, giving you some friendly faces to approach during the Convention and some extremely valuable network contacts for now and in the future.

Lunch

Lunch each day of the Convention will be held in the Exhibition area. Monday and Tuesday will be buffet style, although ample seating is being provided to sit down to eat.

The tables will be allocated to discussion topics such as Implementing EDRMS, Metadata, Change Management, Email Policies and a variety of other topics over the first two days, to provide delegates with an opportunity to meet with other delegates with similar interests over lunch.

On Wednesday, all participants will attend a longer and more formal seated lunch in the exhibition area, where prize draws and the winners of the silent auction will be announced.



SPECIAL INTEREST GROUP MEETINGS

SIG Meetings are being held on Sunday and cover the areas of: Local Government, Private Industry, State Government, Legal, Education and International.

Each meeting will be chaired and an agenda will be made available on the

RMAA website eight weeks prior to the event to provide a more structured approach to the meetings. The Education meeting will be a workshop reviewing the Statement of Knowledge for Recordkeeping Professionals.

There will also be a meeting for RMAA Branch Presidents and Councillors to allow them to meet with the RMAA Chairman, CEO, Directors and each other to discuss the RMAA at an International and Branch level, and then to participate in an open knowledge and experience-sharing forum, to swap ideas for increasing member involvement, events, mentoring schemes, education, etc.

Finally, there will be a meeting on Sunday for any interested participants to meet the RMAA Chairman, CEO and Directors in a casual atmosphere.



BEAUTIFUL ADELAIDE

Adelaide, the capital of South Australia, is a small, elegant city in a park-like setting.

Set beside the Torrens River between the Adelaide Hills and the Gulf of St Vincent, the city centre is laid out on a square mile grid of wide streets with gracious colonial architecture surrounded by 930 hectares of parklands. All the inner city highlights are within easy walking distance, and it's almost impossible to get lost.

With the outstanding success of the biennial Adelaide Festival, Adelaide is known as the 'Festival City', hosting many major sporting and cultural events throughout the year.

The Mediterranean climate encourages locals and visitors to enjoy a relaxed and indulgent lifestyle, offering a vast array of city pubs, cafes, restaurants, fresh food and wine.

Join the optional one-hour sightseeing tour on Sunday and take in some of the local landmarks. [iQ](#)



Your Convention Programme Featured Keynote Speakers

Ngwanaphalama (Margaret) More University of South Africa, South Africa



- Keynote Address – 'Enterprise Content Management: Is it nice to have a Must Have for Organisations?'
- Ms More will also be speaking at the Convention on the subject of 'The University of South Africa's 35m-rand archives project revisited.'

Margaret More (pronounced "Moray"), called Ngwanaphalama ("baby springbok") by her parents in their Sepedi language from Northern Sotho, has been Manager of the Records Management Centre at the University of South Africa (UNISA) in Pretoria since 2002, managing 80 staff.

After gaining a bachelor's degree in nutrition at Tshwane University of Technology she worked as restaurant manager at UNISA before being appointed the university's document manager. Enrolling in the UNISA archival and records management studies course, she achieved an Honours Bachelor's degree in archival studies, then moved onto studies for a Master's degree.

After South Africa merged its three largest distance-learning institutions, UNISA, Technikon SA, and Vista University's Distance Education branch, VUDEC, with a combined enrolment of 250,000 students, "Baby Springbok" had to match the low-tech records of the two incoming educators with the UNISA systems.

Convincing the UNISA hierarchy to spend 35 million rand (AU\$7 million) on a records management programme, she launched into a records and information audit throughout the new UNISA and its five main hubs in the Johannesburg, Durban, Cape Town, Limpopo and North West provinces.

Two years ago, Margaret told *iQ*, "What I would like to do is give the new system and processes wider application. I want higher education all over South Africa to use them." In her second address at the RMAA Adelaide Convention, Margaret will talk about the progress she and her team have made on this project.

Shadraak Katuu Mandela Foundation, South Africa



- Keynote Address – 'Managing Electronic Records: A View from the Trenches'
- Mr Katuu will also be speaking at the Convention on the subject of 'Managing Health Records in South Africa'

Shadreck Katuu's career spans the library, archives and records fields. He has a Masters of Archival Studies and a Masters in Library and Information Studies from the University of British Columbia, Canada. He is currently a PhD student at the University of South Africa.

He has held positions at the Namibia National Archives, South Africa's National Research Foundation, the South Africa History Archives, the Bank of Namibia and the Swazi Bank, and been an RM analyst in Canada. He has held teaching and guest lecturer positions at the University of Botswana, the University of Pretoria, the University of the West Indies, and the University of British Columbia, Canada.

He is currently the Manager Information Systems at the Nelson Mandela Foundation, and has advisory roles with the South African Human Rights Commission and the Steve Biko Foundation.

Co-director of InterPARES III team Africa, Mr Katuu is also a member of the ISO Technical Committee 46. He has published widely on electronic records management, open source document systems, authenticity of electronic records, metadata schemas, and the conflict between access to and security of records and electronic commerce.

Dr Karen Anderson Mid Sweden University, Sweden



- Keynote Address – Enterprise IM: A Big Picture Approach to Recordkeeping Systems in Local Government'

Dr Karen Anderson is Professor of Archives and Information Science at Mid Sweden University, and Professor II at the Oslo University College. Until the end of 2007 she worked at Edith Cowan University where she developed the Archives and Records programme by distance education in 1994.

Her research interests include

approaches to records appraisal; recordkeeping systems in the digital environment; recordkeeping issues and challenges in small and medium enterprises (SMEs); and the education and professional development needs of the archives and records management community.

Karen is a Fellow of the Australian Society of Archivists and an Editor in Chief for *Archival Science*. She was President of the International Council on Archives' Section for Archival Educators and Trainers from 2000-2004 and is currently Vice President.

In 2008 she was co-convenor of the Australian Society of Archivists Annual Conference in Perth Western Australia. She co-authored an extensive report on the information seeking behaviour of EDRMS users which appeared in *iQ* in three parts in 2007-2008. **iQ**

OTHER KEYNOTE SPEAKERS

Margaret Birtley Collections Council of Australia, South Australia

- Keynote Address – 'Significant Collections & the Work of Collections Council of Australia'

Margaret Chalker National Archives of Australia, ACT

- Keynote Address – 'Innovation in the Information Landscape: Global perspectives'

David Schulz Objective Corporation, NSW

- Keynote Address – 'IT Buzzwords Records managers Should Care About'

Your Social Programme

The social programme at the Adelaide Convention will offer a variety of networking opportunities, fun in interesting settings, and several new initiatives.

WELCOME RECEPTION

The welcome reception is being held at the Adelaide Zoo – located in the CBD – with drinks and finger food served on the central lawn and under the main rotunda.

Private guided walking tours will take guests behind the scenes to see the Zoo at twilight, and will access some areas closed to the public. Buses looping between the Adelaide Convention Centre and the Zoo will be made available to transport delegates to and from the venues.

It will be a memorable experience, and a great start to the Convention.

GALA AWARDS DINNER

The Convention dinner is being held at the Adelaide Convention Centre, and from this year will incorporate the RMAA Awards Ceremony – J Eddis Linton, Jim Shepherd & Objective RMAA Article of the Year.

As 2009 sees the RMAA's 40th birthday, the scene is set for a spectacular celebration, and the dinner's theme, of "The carnival comes to town", will see the venue transformed with a rainbow of colourful fun, complete with an interactive sideshow alley. And local band 'NDulge will be playing favourite songs from the 70's, 80's and 90's for your entertainment, so you can dance the night away.

This is an RMAA event that participants will be talking about for years to come.



FAREWELL DRINKS

The final chance to network will be a quieter affair compared to the Awards dinner, with drinks and nibbles in the Foyer of the Adelaide Convention Centre, whose floor to ceiling windows which give a great view overlooking the River Torrens.

SILENT AUCTION

In recent years, the RMAA have endeavored to give something back to the community, and this year is no exception.

A silent auction will be run over the course of the Convention, with money raised being given to the Guide Dogs Association of SA/NT and the Starlight Foundation Children's Charity.

Any donations of goods or services to assist in this worthy cause will be gratefully accepted and the donator recognised at the event. **iQ**





RMAA CALLS FOR ENTRIES IN THE J EDDIS LINTON AWARDS

It has been said that the achievements of individuals within the profession become the achievements of the profession itself. So, help us recognise those achievements.

The J Eddis Linton Awards for excellence in records and information management (RIM) in Australia and New Zealand, are the RMAA's pinnacle awards, and are presented annually in three categories.

OUTSTANDING INDIVIDUAL CONTRIBUTION

This award is aimed at those RMAA members who have achieved excellence in RIM & contributed highly to the profession.

It can be self-nominated or nominated by an independent person or group.

If you feel you have – or know an RMAA member who has – contributed significantly in the workplace or to the profession as a whole, you are urged to send in a nomination.

The nominator is required to provide a summary in no more than 1000 words of why they are nominating. The nominator may be required to meet with the Awards judging panel in regard to the nomination and may be asked to provide documentary evidence.

The outstanding contribution should demonstrate one or more of the following:

- An example of RM best practice or innovation that extends the boundaries of common practice.
- Evidence of a commitment to records and information management issues leading to increased motivation, involvement and improved business performance. Key internal personnel will need to verify that initiatives made a significant strategic and practical contribution to the organisation.
- A significant innovation or development in the field that increases the awareness of the profession to those outside the RMAA.
- Display of an outstanding degree of dedication and commitment to the profession.

OUTSTANDING GROUP CONTRIBUTION

Aimed at RMAA members who as a group have achieved RIM excellence and contributed highly to the profession, this award is open to groups, committees (other than RMAA Committees), vendors, business units or consultants (whose work has not been performed for personal gain).

This award can be self-nominated or nominated by another party, with the following criteria.

- 1 Groups/committees must comprise at least 3 people.
- 2 The Company to which the group belongs must be a financial member (ie Corporate member) of the RMAA.
- 3 The nomination form must include the name of a representative who will accept the award if successful.
- 4 The nominator should provide a summary in no more than 1000 words of the outstanding achievement of the nominee (ie, why they are being nominated).
- 5 The nominator may be required to discuss the nomination with the Awards judging panel and may be asked to provide documentary evidence.
- 6 The outstanding contribution should demonstrate one or more of the following:
 - Innovation or best practice within the records management field that extends the boundaries of common practice.
 - Evidence of an increased commitment to RIM issues leading to increased motivation, involvement and improved business performance. Key internal personnel will need to verify that initiatives have made a significant strategic and practical contribution to the organisation.
 - A significant innovation or development in the field that increases the awareness of the profession to those outside the RMAA.
 - A level of achievement that results in an increase of RMAA members or displays an outstanding degree of dedication and commitment to the profession.

STUDENT OF THE YEAR

This category is awarded to a student who has achieved excellence in educational studies in records and information management, and is open to both fulltime and part-time students who have completed a dedicated records and information management course in the previous 12 months (July to June).

- 1 Study may be undertaken at any level, including tertiary and VET.
- 2 High level achievement is defined as attaining no less than a Credit (or its equivalent) for the entire course.
- 3 The educational institution/provider must be accredited by the RMAA.
- 4 A certified copy of academic record must be provided with the application.
- 5 The nominee must indicate his/her personal vision of the future direction of records management (1000 words).
- 6 The award is not limited by age.

Gala Awards Dinner

This year, all RMAA awards, including the Lintons, will be presented at a Gala Awards Dinner at the RMAA International Convention in Adelaide in September. See the Convention Preview in this issue for more details. **iq**

- For more information about the J Eddis Linton Awards and an application form, for all categories, see the RMAA website: <http://www.rmaa.com.au/docs/awards/fed/linton/index.cfm>





ENTRIES ALSO SOUGHT FOR JIM SHEPHERD AWARD



The RMAA's Jim Shepherd Award is awarded to vendors in recognition of vendor/trade support of the Records Management Association of Australasia and in recognition of services to the records management industry. Previous winners include Tower Software, Objective Corporation and Recall.

A nominee must demonstrate:

- 1 A minimum of five (5) years continuous sponsorship of the RMAA at both Branch and National level (sponsorship can be financial or 'in kind').
- 2 Active involvement in advancing the records management industry.
- 3 Their product or service must be specific to the records/information management industry.
- 4 Must be a Corporate Member of the RMAA
- 5 Applications covering these criteria and demonstrating the company's suitability must be submitted by either

an individual RMAA member (who does not work for the company) or by a Branch Council, Chapter or SIG of the RMAA.

- 6 Self nominations will be accepted, but must be endorsed by a professional RMAA member who does not work for the company.
 - 7 The nominator is required to provide details of the nominee, incorporating the award criteria, in no less than 1,000 words.
- For more Jim Shepherd Award information, see the RMAA website: <http://www.rmaa.com.au/docs/awards/fed/shepherd/index.cfm>

You're in the Running for the Objective RMAA Article of the Year Award, Just by Being Published in *iQ*

If you're an individual RMAA member, or if your organisation has corporate membership of the RMAA, and you have an article published in *iQ* or in *iRMA*, you automatically become eligible for the Objective RMAA Article of the Year Award, and earn valuable education points.



This year sees the Objective Corporation sponsoring the RMAA Article of the Year for the fifth year in a row.

All articles by RMAA members which appear in either *iQ* or the yearly RMAA online publication the *Information & Records Management Annual (iRMA)* between November 2008 and August 2009) automatically become eligible for the award – no entry forms or separate applications are necessary.

The winning article will be one which makes a contribution to the understanding or discussion of its subject matter and will be pertinent to the records and information management industry. Contents can be technical, academic or light, as long as the work is original, written in an involving, readable style, and shows the author's thorough grasp of the subject.

The judging panel is made up of the Editor of *iQ*, an Objective Corporation representative, and a member of the RMAA National Board. Eligible articles can be technical or opinion based, can be case studies or calls for action, can be long or short.

In addition, every article appearing in the Association's publications wins RMAA members CPD points, and, as *iQ* is formally recognised as a peer reviewed journal, authors

engaged in tertiary studies can claim maximum points for peer reviewed material published in the journal.

The award traditionally also brings the winner a handsome high-tech digital camera prize provided by Objective Corporation. This year's award will be presented at the Gala Awards Dinner at the 26th RMAA International Convention in Adelaide in September.

Last year's winner was Allen Hancock, for his entertaining but very useful article, 'First Aid for Records'. Since being first published in the May issue of *iQ* last year, Allen's award-winning article has been republished in the Records Management Society of Great Britain's journal the *Bulletin*, in an ARMA International e-zine in Canada, on a corporate intranet site in Canada, and on a government intranet site in Darwin. It has also since been reprinted as an RMAA brochure which has been distributed throughout Australia and New Zealand.

You too can receive national and worldwide exposure for your views, experience, and writing talent by putting your thoughts on paper and submitting an article to *iQ* today.

- To discuss an idea for an article, and to open the door to being in the running for the Objective award, email us at editor.iq@rmaa.com.au.

Snapshot:

The people who help make us tick:

Maureen Lipinski, ACT Branch President

Maureen's first exposure to RM was as an Out-Patients clerk at Sydney Hospital, using a card index system. In the mid-1980's, she joined Price Waterhouse's national office, setting up the partnership records office. While there, she completed her undergraduate degree from UTS, Sydney, (Bachelor of Arts – Library Science).

"Working in a highly professional office, and the fact that the Whitlam Government had abolished university fees, provided me with a wonderful opportunity to gain tertiary qualifications, something for which I will always be eternally grateful," she says.

Her study achievements resulted in appointment as a manager at Price Waterhouse. "My degree took six years to complete part-time. By the time I graduated I was in the process of a divorce."

From 1993, Maureen taught Records Management at North Sydney Institute of TAFE for 7½ years, during holiday breaks undertaking consultancy work. "I still find it rewarding when I attend the RMAA National conventions and catch up with past students I taught."

Moving to Canberra in 2002, Maureen was appointed Records Manager with the Office of National Assessments (ONA). Since then she has been appointed the ONA's Director of Corporate Information, involving a broader strategic role.

Maureen has been on the branch council of the RMAA's ACT Branch for four years, and was last year elected Branch President.

TRUE CONFESSIONS

iQ asked Maureen some personal questions:

A little known fact about you?

I'm an ironing fanatic; I like to iron everything, except sheets!

Marital status/children?

Partner John, two sons from my previous relationship, one in Europe, the other in Queensland, two beautiful daughters-in-law, and three delightful grandchildren, from 4 ½ to 8 months.

Word that best describes you?

Tenacity.

The thing you like best about your job?

The ever changing landscape for managing corporate information, and providing solutions and developing systems. Working in a small agency allows me to know everyone in the organisation, and vice versa.

The thing you least like about your job?

Nothing, really. I'd like more time! I'm sure I'm not alone there.

The most important lesson you've learned?

You never stop learning.

Your motto for life?

How will you know if you can't do it, if you don't have a go?

The award/honor you're most proud of?

A 2003 agency Australia Day Achievement Medallion. Although I have others, this was special.

Books that have influenced you?

Novels like Ken Follett's *The Pillars of the Earth* and *World without End*, which tell stories about achieving over adversity.

Your favourite movie/s?

Most recently, *Last Chance Harvey*, starring Dustin Hoffman and Emma Thomas. *Revolutionary Road* with Kate Winslet and Leonardo DiCaprio portrayed to me how life is; we're all the same, just at different points of a journey.

Your favourite singing artist/s?

The Beatles, Chicago, Rolling-Stones, Paul Simon. I saw the Righteous Brothers and Kenny Rogers live in Las Vegas.

Your favourite restaurants?

In Canberra, Mamak Korner. In Los Angeles, Spargo's in Beverly Hills, with movie stars, directors and supermodels.

Your favourite holiday spot?

Evans Head in northern NSW. If money was not a consideration, Denaru Island, Fiji, to chill out and be pampered.

Your favourite way to spend free time?



Maureen Lipinski,
ACT Branch President

Bridge. I was a keen golfer before I injured my leg three years ago.

The vehicle you drive?

Honda Civic VTi-L.

The vehicle you would like to drive?

I fell in love with a Porsche at 12, but if push came to shove, a BMW or Mercedes convertible.

The luckiest moment in your life?

Meeting my partner, giving birth to my sons, becoming a grandmother. How fortunate is that!

Your business philosophy?

Get it right the first time.

Your personal measurement of success?

Delivering the right information at the right time, with happy end-users and management.

Your ambitions for the RMAA in the ACT?

I would really like to see some of our younger members being involved on branch council, so we could target graduates and newbies. I'd love younger members to run the branch. Branch council helps develop leadership and management skills, and provides opportunities to meet professional colleagues.

Your suggestion for how records managers can best cope during the current economic downturn?

Promote the importance of good recordkeeping. Keep your team busy delivering best practice outcomes, and keep them up-to-date with new developments and industry trends. Basically, business as usual.

How would you like to be remembered by family, friends & colleagues?

Always there as a loving, loyal, caring, supportive and trusting friend.

Your secret dream or ambition?

To play the 13th hole at Augusta. **iQ**

RMAA Directory

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